



Tony Katz

Partner

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Tony Katz focuses on regulatory work (both advisory and contentious) for financial institutions and global investigations.

He advises leading financial institutions, banks, funds, brokers, trading firms, payment services and other financial services firms on a range of advisory and contentious issues.

Tony has deep experience in contentious matters, including regulatory and exchange investigations in the UK, EU, the US and Asia.

He also has extensive experience in conducting cross-border internal investigations and advises specifically on the UK Bribery Act including advising on Section 7, Adequate procedures' defence and drafting adequate procedures for clients.

Tony was formerly a manager at the UK financial regulator and is also a former global head of compliance at a financial services group. Tony acts as a FCA-appointed skilled person on conduct of business issues.

EXPERIENCE

- Leading a large Section 166 investigation (appointed by the FCA)
- An internal investigation triggered by a whistle-blower complaint and the allegations include inappropriate behaviour and potential misconduct and mismanagement
- A corporate investigation relating to transactions allegedly carried out by the client's employees in breach of bribery and corruption regulations across Europe and potential fraud allegations
- Advising a listed client in relation to an investigation into insider dealing into the company's shares
- Advising a leading broker in relation to regulatory supervisory and thematic visits
- Advising a UK trade body and leading its negotiations with the financial regulator in relation to conduct of business issues

CREDENTIALS

RELATED SERVICES

- International Trade, Regulatory and Government Affairs
- Litigation, Arbitration and Investigations
- Cross-Border Litigation
- Investigations
- Derivatives

RELATED SECTORS

- Financial Services
- Consumer Goods, Food and Retail
- Insurance
- Technology

Professional Qualifications

- Solicitor of the Senior Courts of England and Wales
- Attorney of the High Court of South Africa

Prior Experience

- 2011 to 2014, Partner, Litigation Group, US based international law firm
- 2009 to 2011, Group Head of Compliance and Legal Advisor, Liquid Capital Group (LCG)
- 2004 to 2009, Manager, Financial Services Authority (FSA)
- 1998 to 2004, Senior Associate, London based 'Magic Circle' firm
- 1995 to 1998, Trainee Solicitor, Assistant, promoted to Associate in 1998, Africa based law firm

Education

- University of Cape Town, Bachelor of Business Science (Honours) 2:1, LL.B. (Bachelor of Laws)

Memberships

- Lexis Nexis Financial PSL practice editorial board

INSIGHTS

Publications

Boardroom Brexit: What the deal means for trade in services

31 December 2020

Boardroom Brexit

The TCA has substantial sectoral coverage, including professional and business services (e.g. legal, auditing, architectural services), delivery and telecommunication services, computer-related and digital services, financial services, research and development services, most transport services and environmental services.

New UK regulatory requirements to consider ahead of ATM and branch closures and conversions

21 July 2020

Last week, the UK's Financial Conduct Authority (FCA) published draft guidance setting out its expectations of banks, building societies and credit unions who are considering closing branches or ATMs (including where a free-to-use ATM is converted into a pay-to-use ATM).

Anti-Money Laundering Bulletin - Summer 2020

24 June 2020

Anti-Money Laundering Bulletin

In this issue we provide updates on AML and counter-terrorist financing news from around the world, with a focus on the impact of the COVID-19 pandemic, the new sectoral guidance of the UK Joint Money Laundering Steering Group and the FATF guidance

on the use of digital identity.

New Regulatory Initiatives Grid - pilot launched by the Financial Services Regulatory Initiatives Forum

14 May 2020

The Financial Services Regulatory Initiatives Forum (the Forum) launched earlier this year. It is intended to improve and assist regulatory co-ordination as well as giving firms a clearer picture of the horizon for significant regulatory initiatives.

Coronavirus: How UK mortgage lenders and administrators can comply with FCA guidelines

1 April 2020

On 20 March 2020, the FCA published guidance for mortgage lenders and administrators aimed at helping them support customers during the Covid-19 crisis. Alongside this guidance, the FCA has also published a related webpage with information for mortgage customers.

Anti-Money Laundering Bulletin - Winter 2020

28 February 2020

Anti-Money Laundering Bulletin

Welcome to the winter 2020 edition of DLA Piper's AML Bulletin.

FCA plans to ban discretionary commission models in the motor finance market

15 October 2019

The Financial Conduct Authority (FCA) announced on 15 October 2019 that it plans to ban discretionary commission models where the amount received by the broker is linked to the interest rate of the loan and which the broker has the power (under the agreement with the lender) to set or adjust.

Anti-Money Laundering Bulletin - Autumn 2019

30 September 2019

Anti-Money Laundering Bulletin

Welcome to the autumn 2019 edition of DLA Piper's AML Bulletin. In this issue we provide updates on anti-money laundering and counter-terrorist financing news, both in the UK and internationally, covering the period from June 2019 to September 2019.

FATF publishes new rules for the regulation of virtual assets

30 September 2019

On 21 June 2019, the Financial Action Task Force (FATF) published an updated version of its recommendations on international standards on combating money laundering and the financing of terrorism and proliferation (Recommendations), to include an interpretative note, clarifying the application of the Recommendations with regards to virtual assets and Virtual Asset Service Providers (VASPs) (Interpretative Note).

Anti-Money Laundering Bulletin - Spring 2019

23 MAY 2019

Anti-Money Laundering Bulletin

DLA Piper's Financial Services Regulatory team welcomes you to the Spring 2019 edition of our Anti-Money Laundering (AML) Bulletin. In this issue we provide updates on anti-money laundering and counter-terrorist financing news, both in the UK and internationally, covering the period from February 2019 to April 2019.

Anti-Money Laundering Bulletin - Winter 2019

30 JAN 2019

Anti-Money Laundering Bulletin

In this issue, we provide updates on AML developments in the Financial Services Sector. We offer the latest updates on Brexit, including the anti-money laundering and counterterrorist financing aspects of the Political Declaration on the future UK-EU relationship and we look at the steps that firms need to take in preparation of a 'no-deal' Brexit.

Events

Previous

International Financial Services Regulation: What will be big in 2021?

28 October 2020

Webinar

COVID-19 and financial services – a European perspective

27 March 2020

NEWS

DLA Piper advises Jaja Finance on its £530m acquisition of Bank of Ireland's UK credit card business

12 July 2019

DLA Piper has advised digital finance company Jaja Finance Limited (Jaja) on the acquisition of Bank of Ireland's (The Bank) UK credit card portfolio.
