



**Tony Katz**

**Partner**

**GLOBAL CO-CHAIR OF THE FINANCIAL SERVICES SECTOR**

tony.katz@dlapiper.com

**London**

T: +44 (0)20 7153 7835

F: +44 (0)20 7796 6916

M: +44 796 855 8890

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.

- Regulatory and Government Affairs
- Litigation, Arbitration and Investigations
- Cross-Border Litigation
- Investigations
- Derivatives
  
- Financial Services
- Consumer Goods, Food and Retail
- Insurance
- Technology

- 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

---

## 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

#### Further FCA AML failings identified in challenger banks

16 May 2022

The review highlights concerns about the adequacy of these banks' checks when taking on new customers and expects challenger banks to evaluate their approaches to identifying and assessing anti-money laundering (AML) risks, particularly as their customer base and business areas grow.

---

#### Anti-Money Laundering Bulletin

31 January 2022

Anti-Money Laundering Bulletin

DLA Piper's Financial Services Regulatory team welcomes you to the January 2022 edition of our Anti-Money Laundering (AML) Bulletin. In this issue, we provide updates on AML developments in the UK, the EU and internationally.

---

#### Anti-Money Laundering Bulletin

30 September 2021

Anti-Money Laundering Bulletin

DLA Piper's Financial Services Regulatory team welcomes you to the September 2021 edition of our Anti-Money Laundering (AML) Bulletin. In this issue, we provide updates on AML developments in the UK, the EU and internationally.

---

## First FCA consultation on reforming capital markets post-Brexit

7 May 2021

On 28 April 2021, the FCA published Consultation Paper 21/9 (CP 21/9), which sets out proposals to amend conduct and organisational requirements under MiFID II (as implemented in the UK) in relation to SME and FICC research inducement rules and best execution reports.

---

## 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.

---

## Events

## Previous

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

28 October 2020

Webinar

---