



**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.

- 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

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## 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

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### Publications

#### **The FCA's new consumer duty: shifting the mindset**

15 August 2022

The Financial Conduct Authority (FCA) has now published its final rules and guidance on its new Consumer Duty (PS22/9 and FG22/5). The Consumer Duty is designed to fundamentally shift the mindset of firms in how they deliver for consumers.

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#### **Exchange - International: Financial Services Regulation Newsletter**

1 July 2022

Exchange - International: Financial Services Regulation Newsletter

Welcome to the latest edition of Exchange - International, our global newsletter designed to keep you informed of the latest regulatory developments in the financial services sector. This issue includes updates from the UK, the EU, as well as contributions from Ireland, Belgium and the US, plus international developments.

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#### **Raising the standard: How banks can improve the quality of climate-risk financial reporting**

15 June 2022

The Financial Services sector team is pleased to launch its new report - Raising the standard: How banks can improve the quality of climate-risk financial reporting?

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## **Anti-Money Laundering Bulletin: Spring/Summer 2022**

1 June 2022

Anti-Money Laundering Bulletin

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

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## **Exchange - International: Financial Services Regulation Newsletter**

29 March 2022

Exchange - International: Financial Services Regulation Newsletter

DLA Piper's Financial Services International Regulatory team welcomes you to the 47th edition of Exchange – International, our international newsletter designed to keep you informed of regulatory developments in the financial services sector.

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## **Episode 7: What are the implications of the new Consumer Duty regulation?**

14 March 2022

The DLA Piper Financial Services Podcast

Tony Katz, Global Co-Chair of our Financial Services sector is joined by Sophie Lessar, Puesan Lam and Gemma Read to discuss the FCA's consultation on new Consumer Duty regulation, the key issues and challenges for firms in implementing the Consumer Duty and what firm's should be doing to prepare themselves.

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## **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.

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## **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.

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## **FCA continues crack down on retail banks' AML failings**

20 July 2021

Amidst a flurry of recent activity in the AML space, the FCA published a "Dear CEO" letter regarding failings they continue to identify in retail banks' AML frameworks.

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## **FCA to strengthen financial promotions rules for high-risk investments**

15 July 2021

The FCA's is considering what changes it should make to its financial promotion rules to help retail investors make more effective decisions. This article outlines the proposal timeline, and how it could have a significant impact on the business models for certain firms.

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## 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.

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## UK-EU Trade Agreement: What's next for financial services?

4 January 2021

On 24 December 2020, after intensive down-to-the-wire negotiations, the European Commission and the UK Government reached an agreement on the terms of future trade and cooperation between the European Union (EU) and United Kingdom (UK).

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## 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.

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## Events

### Upcoming

#### Looking ahead: the regulatory landscape for financial services in 2023

1 December 2022

Webinar

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### Previous

#### Looking ahead: the regulatory landscape for financial services in 2022

2 December 2021

Webinar

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