



**Tony Katz**

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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.

- International Trade, 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

#### 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 publishes Business Plan 2021/22

19 July 2021  
We look at the key priorities and objectives set out in the FCA's Business Plan for 2021/22, published on 15 July.

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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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## **A new Consumer Duty of care briefing**

4 June 2021

Following on from its 2018 discussion paper and subsequent feedback statement; and in reaction to the requirements imposed by s.29 of the recently enacted Financial Services Act 2021, the FCA is consulting on its proposition to introduce a new Consumer Duty.

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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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## **Anti-Money Laundering Bulletin**

25 November 2020

Anti-Money Laundering Bulletin

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

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## **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).

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## **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.

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### **UK financial crime systems and controls during COVID-19: The FCA's view**

21 May 2020

On 6 May 2020, the Financial Conduct Authority (FCA) issued a statement on how firms should apply their systems and controls to combat and prevent financial crime during the COVID-19 pandemic.

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### **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.

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### **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.

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## **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.

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### **First FCA fine against a claims management company**

18 December 2019

On 17 December 2019, the FCA published a Final Notice fining Professional Personal Claims Limited (PPC) GBP70,000 for failures relating to PPI complaints. The decision follows the transfer of regulatory responsibility for claims management companies (CMCs) to the FCA.

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## **Events**

## Previous

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

2 December 2021

Webinar

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

28 October 2020

Webinar

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### **COVID-19 and financial services – a European perspective**

27 March 2020

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