



**Tony Katz**

合伙人

GLOBAL CO-CHAIR OF THE FINANCIAL SERVICES SECTOR

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伦敦

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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.

- 国际贸易、法规及政府事务
- 诉讼、仲裁和调查
- Cross-Border Litigation
- Investigations
- Derivatives

- 银行和金融服务
- 零售
- 保险
- 科技

- 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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## 执业资格

- 英格兰及威尔士高级法院事务律师
- Attorney of the High Court of South Africa

## 专业经历

- 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

## 教育背景

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

## 专业会员资格

- Lexis Nexis Financial PSL practice editorial board