



DAVID KATZ

SENIOR MANAGING DIRECTOR

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OVERVIEW

David Katz specializes in corporate monitorships, regulatory compliance, and internal investigations. He helps clients identify and mitigate regulatory risks and assists them in developing robust compliance programs to prevent future and recurring regulatory problems. Over the last 25 years, Mr. Katz has developed extensive experience in several areas including securities, tax, anti-money laundering, antitrust, and financial fraud.

Mr. Katz's engagements with Guidepost include serving as a key member of the leadership teams monitoring:

- an international shipping company, which pled guilty to price fixing in violation of U.S. antitrust laws
- a major U.S. multinational delivery services company, which settled with the New York State Office of the Attorney General and the City of New York to resolve allegations concerning the shipment of illegal cigarettes
- a U.S. automobile manufacturer in connection with its deferred prosecution agreement with the Department of Justice, which arose out of its failure to timely recall of millions of vehicles equipped with defective ignition switches
- a global bank, which had been sanctioned by New York regulators for anti-money laundering and sanctions violations

He has also served as an independent consultant as part of a FINRA settlement with a broker-dealer to conduct a comprehensive review of the firm's compliance with FINRA's suitability rules and engaged as an independent consultant as part of a U.S. Securities and Exchange Commission settlement with a registered transfer agent to conduct a comprehensive review of its policies and procedures.

Mr. Katz previously held senior positions with the U.S. Senate's Permanent Subcommittee on Investigations, the Internal Revenue Service, and the National Association of Securities Dealers (now Financial Industry Regulatory Authority/FINRA). He also served as a federal prosecutor for eight years specializing in white collar fraud prosecutions.

As Senior Counsel to the Permanent Subcommittee on Investigations, Mr. Katz advised the Subcommittee and its Chairman Senator Levin on investigative and legislative matters. He has conducted high-profile investigations involving major multi-nationals and financial institutions including global banks and hedge funds. The range of issues he investigated included offshore tax avoidance schemes, excessive speculation in the commodities markets, structural problems in the equity markets, and abusive structured transactions.

Prior to working on Capitol Hill, Mr. Katz was a Senior Advisor to the Commissioner of the Large Business and International Division at the Internal Revenue Service, where he provided guidance on the taxation of financial services entities; led an initiative to identify compliance risks and enforcement issues related to hedge funds and private equity firms; and participated as a member of the Executive Board in the development of the policies and procedures of the IRS' Whistleblower program.

Earlier in his career, Mr. Katz served as Assistant Chief Counsel and later as the Director of Fraud Surveillance in the Market Regulation Department at NASD. As the director, his primary responsibility was to oversee the fraud surveillance for the NASDAQ, the American Stock Exchange, and the Over-The-Counter Markets. In this capacity, he directed and led his staff in hundreds of investigations for fraud and manipulative trading schemes, including micromanipulations such as pump and dumps, wash sales, marking the close, as well as matched and fictitious orders schemes. Earlier, as assistant chief counsel, he oversaw a team of lawyers who prosecuted member firms and brokers for violations of NASD rules and the federal securities laws.

Mr. Katz began his career at the U.S. Department of Justice as a trial attorney for the Fraud Section of its Criminal Division in Washington, DC, investigating and prosecuting high profile white-collar cases, including securities and telemarketing fraud, bribery, and government program fraud.

Mr. Katz's private sector experience includes serving as a partner at Petillon, Hiraide, Loomis & Katz LLP where he represented broker-dealers and corporations and their employees in connection with financial fraud, insider trading, and securities fraud matters before FINRA and the SEC. He also represented clients in civil litigation and arbitration proceedings involving securities related claims.

SOLUTIONS

Investigations + Business Intelligence

Monitorships

Risk + Compliance

Financial Crime Consulting

Corporate Investigations

Corporate Internal Investigations

Litigation Support

Federal Procurement

EDUCATION

- Juris Doctor, University of Miami School of Law
- Bachelor of Arts, International Relations, Boston University, *cum laude*