



## Andrew Katzen

Partner



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Andrew Katzen is a forensic and highly strategic solicitor whose broad expertise enables him to represent regulated professionals facing complex legal challenges across multiple areas.

Andrew is one of the country's leading regulatory and professional discipline solicitors. He defends in investigations and proceedings brought by the SRA, FCA and FRC.

He is also an accomplished financial criminal defence and extradition lawyer who has acted in some of the country's highest-profile SFO, FCA and NCA prosecutions.

Andrew's client base consists of corporates and regulated professionals such as lawyers, accountants and people working in financial services.

Andrew also provides specialist advice in relation to proceeds of crime. He has devised successful strategies for corporates and individuals facing complex, cross-jurisdictional anti-money laundering and asset freezing, forfeiture and recovery issues.

His extensive experience working across practice areas gives him the legal vision to anticipate what might otherwise be unexpected legal hurdles. His specialist knowledge enables him to determine the best strategy for each individual client.

He is a former committee member of the Association of Regulatory & Disciplinary Lawyers and a member of the Fraud Lawyers Association, the Financial Services Lawyers Association, the City of London Corporate Crime and Corruption Committee, and the Health and Safety Lawyers Association.

He regularly writes on professional regulation and financial crime for the Law Society Gazette, Lexology, and The Times and has delivered professional training for the Law Society and other organisations.

## Areas of Expertise

### Regulatory Investigations

Andrew Katzen is one of the country's foremost professional services regulatory and disciplinary experts and represents individuals and corporate bodies under investigation by bodies such as the SRA, FCA, FRC, ICAEW, GMC, HCPC, TRA and Ofsted.

He regularly advises law firms and partners, solicitors and office holders in them about SRA investigations ranging from allegations of dishonesty, regulatory rule breaches of anti-money laundering, sanctions and client account requirements and personal misconduct such as sexual and other non-work-related behaviour.

He often acts for corporates and individuals facing investigation by the FCA in criminal, regulatory and civil investigations in matters such as insider dealing, market manipulation and abuse, unauthorised business and breaches of FCA principles.

Andrew's experience working across a variety of regulatory areas gives him the understanding to apply successful tactics from one discipline to another. He has achieved significant successes representing many different types of professionals including law firms, lawyers, accountants, financial businesses and company directors.

Most of Andrew's clients in this practice area remain outside the public domain, however they include:

- Acting for a law firm and its senior partner in proceedings before the SDT regarding breaches of the Money Laundering Regulations and the Solicitors Accounts Rules (the penalty imposed against the firm was less than a quarter originally proposed by the SRA).
- Acting for four partners in a high-profile London law firm investigated by the SRA for allegations of sexual misconduct.
- Acting for the MLRO and COFA of a US law firm investigated for serious allegations of money laundering and client account breaches.
- Acting for a law firm regarding a complaint to the SRA regarding alleged misuse of client account funds and advising regarding self-reporting obligations about concerns of misuse of client account as a banking facility.
- Acting for a law firm investigated by the SRA for breaches of the Solicitors Accounts Rules regarding the administration of an estate in which £900,000 remains undistributed 31 years after the death of the testator.
- Acting for a partner in a law firm regarding three investigations by the SRA including allegations of giving false evidence in a High Court trial, misuse of client money and inadequate client due diligence in property transactions
- Acting for a sole practitioner intervened in by the SRA for suspected dishonesty concerning the misappropriation of hundreds of thousands of pounds from the administration of estates and supplying false information to the SRA
- Acting for a solicitor head of an in-house legal department regarding an SRA investigation concerning historical sexual misconduct
- Acting for a senior solicitor investigated by the SRA for dishonestly fabricating correspondence

to an opponent in litigation.

Acting for a partner and head of department at a well-known law firm in his successful application for readmission to the Roll after misappropriating nearly £100,000.

## Fraud, Corruption & Bribery

Andrew Katzen has extensive experience in fraud, money laundering, sanctions and bribery cases.

He plays a crucial senior role within Hickman & Rose's Business Crime department, especially when criminal allegations against an individual intersect with regulatory and disciplinary issues.

Andrew's experience working across financial crime and regulatory and disciplinary law means he has the breadth of vision to identify issues where they intersect and to work with clients to find solutions.

Key clients have included senior executives caught up in the SFO investigations into Serco, Rolls-Royce and BAT as well as corporates and individuals in a number of high profile FCA matters.

Some recent cases include

- Acting for a high net worth individual accused of circumventing Russian sanctions
- Acting for a corporate and two directors accused of an unlawful collective investment scheme which the FCA alleges was a £20 million Ponzi fraud
- Acting for an entrepreneur and property investor in an FCA investigation of insider dealing concerning multiple share transactions valued at hundreds of thousands of pounds

Acting for an accountant investigated by HMRC for alleged involvement in high value Research & Development fraud in the construction industry

## Proceeds of Crime

Andrew Katzen leads Hickman & Rose's Proceeds of Crime practice. He provides strategic advice to corporates, charities and non-profit organisations and individuals on anti-money laundering and asset recovery issues, and also acted in many complex restraint, confiscation and asset forfeiture cases.

Andrew's POCA work focuses on giving organisations and individuals advice on criminal liability and anti-money laundering obligations and practical advice on how to draft suspicious activity reports and how best to manage dealing with the National Crime Agency.

Widely admired for his excellent client care skills, Andrew's calm, judicious manner is greatly appreciated by clients for whom any failure to properly deal with money laundering risks could prove disastrous in terms of liability and reputation. He has insight into the commercial pressures that clients are subject to and how to balance these with regulatory compliance.

Some recent matters include

- Acting for a high net worth individual in relation to much publicised NCA Account Freezing and

### Forfeiture Order proceedings

- Advising an international charity regarding money laundering, terrorism funding and sanctions issues for two projects in the Middle East, drafting notifications to the NCA and OFSI and successfully making submissions to OFSI that no enforcement action should be taken.
- Advising a charity providing medical welfare in the Middle East and making representations to OFSI against the making of a disclosure

Advising a financial organisation about obligations under POCA to make a protected disclosure regarding funding to another business in which fraud and money laundering had occurred and drafting a SAR.

## Cross Border Investigations

Extradition law expert Andrew Katzen leads Hickman & Rose's cross-border practice. While he has acted successfully in numerous high-profile hearings, much of his work in this practice area involves advising clients on extradition related matters, such as requests for mutual legal assistance in investigations and freedom of movement through Interpol Notices.

He has significant experience of cases involving US law enforcement and financial regulators as well as various European countries, the Middle East and in South East Asia.

Previous clients include Shrien Dewani the honeymoon murder extradition to South Africa. He is currently engaged in a multi handed extradition case in the High Court regarding the alleged execution of a businessman and politician in Albania.

A frequent media commentator on extradition issues, Andrew's calm and reassuring manner is greatly valued by clients who may be facing the prospect of life-altering court decision in another part of the world.

## Private Client

Andrew's private client work focuses on providing HNW and high-profile individuals – as well as their families – with specialist legal advice pertaining to bribery, money laundering and issues related to extradition and Mutual Legal Assistance.

A highly skilled and versatile lawyer with excellent legal foresight, he works in close collaboration with Ross Dixon and Ben Rose to ensure the chosen legal strategies takes into account every potential risk and opportunity.

Andrew is especially aware of the 'reputation factor' which makes HNW and high-profile clients especially vulnerable to unproven allegations. He is expert in devising the legal strategies which take this into account and has helped achieve significant success in heading off investigations before any charges are brought.

While most of Andrew's clients in this area remain outside the public domain, they include acting for a multi-millionaire who is prominent in the film industry in a major tax investigation and prosecution in a foreign jurisdiction.

### Health & Safety

Andrew's health and safety practice focuses on providing specialist advice to corporates and institutions in relation to potential prosecution for safety breaches, particularly fatal ones, in the workplace.

He is expert in both criminal law relating to corporate manslaughter-type allegations, and also the various regulatory issues which can arise from serious workplace accidents.

Andrew works in close collaboration with colleagues in the firm's inquest law team to help guide clients through what can be a difficult and challenging process, and one in which a clear strategy should be determined from as early as possible.

Key clients in this area include advising a noted entrepreneur and landowner regarding the death of a contractor on land he farms, the owner of a yacht about the death of a crew member and the owner of an arborist business on the death of a contractor.

### What Others Say

- "Leading Partner" in Fraud: white-collar crime – *Legal 500, 2025*
- "Key Lawyer" in Financial services: contentious – *Legal 500, 2025*
- "Key Lawyer" in Professional Discipline – *Legal 500, 2025*
- "Recommended Lawyer" in POCA & Asset Forfeiture – *Chambers UK, 2025*
- "Recommended Lawyer" in Financial Crime: Individuals – *Chambers UK, 2025*
- "Recommended Lawyer" in Professional Discipline – *Chambers UK, 2025*
- "Recommended Lawyer" in Health & Safety – *Chambers UK, 2025*
- "Leading Individual" in Fraud: White Collar Crime – *Legal 500, 2024*
- "Recommended Lawyer" in Financial Crime: HNW Individuals – *Chambers UK, 2023*
- "Recommended Lawyer" in POCA & Asset Forfeiture, Financial Crime: Individuals – *Chambers UK, 2024*
- "Recommended Lawyer" in Financial Crime: Individuals – *Chambers UK, 2024*
- "Recommended Lawyer" in Professional Discipline – *Chambers UK, 2024*
- "Key Lawyer" in Professional Discipline – *Legal 500, 2024*
- "Key Lawyer" in Financial Services: Contentious – *Legal 500, 2024*
- "Global Leader" in Business Crime Defence – Corporates – *Who's Who Legal, 2023*
- "Global Leader" in Business Crime Defence – Individuals – *Who's Who Legal, 2023*
- "Global Leader" in Investigations *Who's Who Legal, 2023*