

Katharine Harle

Partner



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Overview

Katharine advises on all aspects of financial markets and regulatory work. She previously spent nearly five years as an FCA lawyer including working in its Enforcement division. Through her experience with the FCA, Katharine has a detailed understanding of regulatory processes and policy-making, enabling her to advise clients on a broad range of contentious and non-contentious regulatory and strategic issues, most recently the implementation of the Senior Managers Regime and regulatory references, the consequences of Brexit, and conducting and reporting to the regulator on investigations into regulatory failings.

Katharine's clients include both public organizations and a wide range of regulated firms including banks, investment firms, insurers, brokers, credit institutions and payments firms, as well as individuals. She regularly works with Dentons' overseas firms to provide cross-border advice. Her work is often confidential, focusing on achieving a successful outcome on complicated and sensitive matters.

Recognition

Katharine chairs an industry association working group and is a regular speaker at industry events on regulatory topics. She also contributes to industry publications and is quoted in industry articles. *Legal 500* describes Katharine as "exciting and innovative" and a "regulatory expert" and she was previously listed as a "rising star" on Thomson Reuters' Super Lawyers List in Financial and Investment Services, and recognised by Lexology as a Legal Influencer for the future of legal services.

In the Media

Insights

- "CP19/4 – the long-awaited FCA proposals on treatment of the legal function under SMCR" Dentons Client Alert, March 19, 2019
- "COVID-19: Managing the fraud risk in the current crisis" Dentons client alert, April 3, 2020
- "Senior manager learning points from FCA decision notice against Sonali Bank CEO" Dentons Client Alert,

March 4, 2019

- "Cybercrime attacks: Before and after –12 things to think about in the regulated sector" Dentons Press Release, October 24, 2018
- "Implementing SMCR – considerations for wealth and asset managers" Dentons Client Alert, September 26, 2018
- "Breaking down FCA enforcement activity - where should firms focus compliance resources?" Dentons Client Alert, September 4, 2018
- "Eleven questions answered on the Senior Managers and Certification Regime" Dentons Client Alert, July 26, 2018
- "SMCR – The countdown has started" Dentons Client Alert, July 19, 2018
- "Implementation of the senior managers regime a key priority in the FCA's 2018/19 Business Plan" Dentons Press Release, May 10, 2018
- "FCA sets out its Approach to Enforcement" Dentons Client Alert, April 3, 2018
- "Former Co-operative Bank Chair Paul Flowers banned from the financial services industry" Dentons Client Alert, March 20, 2018
- "Six changes to the SMCR for banks" Dentons Press Release, October 9, 2017
- "How will the extended SMCR apply to NEDs?" Dentons Press Release, September 20, 2017
- "What does the FCA's Annual Report 2016/17 tell us about enforcement priorities?" Dentons Press Release, September 4, 2017
- "In the eye of the beholder? The concept of value for money, and the FCA's" Dentons Client Alert, July 13, 2017
- "Financial Markets Disputes and Regulatory Update: Issue 5" Dentons Newsletter, July 6, 2017
- "Latest FCA rules and guidance: SMCR, remuneration and whistleblowing" Dentons Client Alert, June 26, 2017
- "Senior Managers and Certification Regime (SMCR). What's next? " Dentons Press Release, May 2, 2017
- "The FCA publishes its Business Plan 2017/18 and Mission: a clearer path ahead?" Dentons Client Alert, April 27, 2017
- "Financial Markets Disputes and Regulatory Update - Winter 2016" Dentons Newsletter, January 24, 2016
- "Financial Markets Disputes and Regulatory Update - Summer 2015," Dentons Newsletter, June 17, 2015
- "Themes for the new year - the FCA's December 2014 enforcement conference." Dentons Article, February 2, 2015
- "Fixes for FX - how would recent regulatory changes have affected liability for foreign exchange manipulation?," Dentons Client Alert, December 9, 2014

Activities and Affiliations

Community Involvement and Pro Bono

Katharine is part of the Firm's women's network and co-founder of its innovative Parents Connect initiative (shortlisted in the Diversity and Inclusion category at the British Legal Awards). Katharine is currently on the Board of

Governors at a school.

Presentations

Prior and Present Employment

- Senior Associate – Dentons [formerly SNR Denton], London (2011 to date)
- Associate – Financial Services Authority (FSA), London (2006-2011).

Areas of focus

Practices

- Banking and Finance
- Litigation and Dispute Resolution
- Public Law
- Financial Institutions Regulatory
- Financial Markets Litigation and Regulation

Industry sectors

- Financial Institutions
- Government

Issues and opportunities

- Senior Managers and Certification Regime

Education

- University of Birmingham, 2004, LL.M., Commercial Law
- University of Cambridge, 2001, BA, Law

Admissions and qualifications

- Solicitor, Senior Courts of England and Wales
- Higher Rights of Audience (Civil)