GOLDBERGSEGALLA



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Manhattan

PRACTICES

Commercial Litigation and Arbitration

Employment and Labor

Corporate Law and Transactions

White-Collar Defense and Government Investigations

INDUSTRIES

Banking and Financial Services

Adam S. Katz

PARTNER

EXPERIENCE

Adam S. Katz is a commercial litigator and white-collar defense attorney with experience representing corporate and individual clients in state and federal courts across the United States. He has advised clients in compliance matters, administrative proceedings, complex commercial litigations, and other business disputes; navigated internal investigations and government inquiries; developed criminal defense strategies; and represented clients at trial.

Adam's understanding of business law and its application to a broad range of industries is extensive. His clients have included banks and financial institutions, small business partners, hedge funds, multi-national corporations, condominium sponsors, limited liability companies, brokerage firms, medical companies, hotel franchisees, international freight shippers, and municipal bond brokerage firms; as well as prominent politicians, a national songwriters' guild, a private security corporation, and a food manufacturer. He has handled cases that involve complex business agreements, partnership dissolution, employment discrimination and compliance claims, negligence, and breach of fiduciary duty; fraud, money laundering, public corruption, and tax evasion; international licensing, non-competition, and other restrictive agreements; and insurance coverage.

Adam has also successfully argued in federal court cases involving the TCPA, the Lantham Act and Copyright Act, the Dodd-Frank Act, the Fair Labor Standard Act (FLSA), the Sherman Anti-Trust Act, the Americans with Disabilities Act (ADA), and the Racketeer Influenced and Corrupt Organizations Act (RICO). His fluency in business law extends beyond the United States: He has developed case strategy and litigated matters involving the Foreign Corrupt Practices Act (FCPA) and the UK Bribery Act.

EXPERIENCE HIGHLIGHTS

Corporate Law and Criminal Defense

- Acted as a principal advisor to an international geo-political consulting firm regarding FCPA and UK Bribery Act compliance and created a related employee handbook
- Advised a financial institution regarding the Bank Secrecy Act, Section 326 of the U.S. Patriot Act, and the FCPA and created a related anti-corruption policy guide, after investigating banking transfers and other practices
- Advised a person-of-interest in an FCPA investigation, an employee at a multi-national pharmaceutical company, regarding potential exposure
- Oversaw and conducted an internal investigation for an international pharmaceutical distributor regarding compliance with the FCPA and other anti-bribery laws
- Created a comprehensive regulatory compliance program for a multi-national restaurant chain and worked with executives to implement it
- Represent U.S.-based bank with respect to data privacy issues and purported breach
- Oversaw key aspects of civil and criminal money laundering actions in the Eastern District of New York and related internal investigations of national convenience store
- Created multiple firm and client presentations related to the FCPA, the UK Bribery Act, OFAC Guidance, and the Dodd-Frank Act
- Successfully negotiated resolution to TCPA class action for car warranty company

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PARTNER

Employment Litigation and Counseling

- Successfully defended chemical company and its CEO against charges of racial discrimination and violations of Title VII brought by former employee
- Advised and successfully defended multiple restaurant owners in class action FLSA wage cases
- Advised and defended a moving company in single-plaintiff FLSA wage case
- Advised and obtained successful dismissal of FLSA and FMLA claims for a multi-national carpet importing company
- Obtained complete dismissal of claims related to breach of an employment agreement for a video gaming company
- Successfully defended a group of brokers against former employer in case alleging breach of employment agreement
- Obtained successful arbitration award for an executive of a multi-national bank in hostile work environment arbitration against employer
- Advised prominent national song-writing guild on social media and employment policies and created related policy handbook
- Successfully defended brokerage firm against TRO and preliminary injunction in employment dispute
- Created social media, wage and hour, and other employee policies for a large construction company and worked with its Chief Executive Officer to implement the policies

HONORS & AWARDS

- New York Metro *Super Lawyers*, 2022-26
- New York Metro *Super Lawyers* Rising Stars, 2018

BACKGROUND

ADMITTED TO PRACTICE

- New York
- U.S. District Courts for the Southern and Eastern Districts of New York

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EDUCATION

- Georgetown University Law Center, J.D., 2007
  - Legal Research and Writing Law Fellow
  - Georgetown Journal of Law & Public Policy
- Duke University, B.A., *summa cum laude*, 2004

PROFESSIONAL AFFILIATIONS

- New York State Bar Association

COMMUNITY INVOLVEMENT

GOLDBERGSEGALLA

Adam S. Katz

PARTNER

- Young Alumni Development Council, Duke University
- United Jewish Appeal – Lawyers' Division

PUBLICATIONS & EVENTS

PUBLICATIONS

- "Steps Minority Members of LLCs Can Take to Avoid a Surreptitious Merger," (Co-Author), *Crain's New York Business*, July 5, 2019
- "NY's Freeze-Out Mergers Offer Limited Rights and Recourse for LLC Minority Members" (Co-Author), *New York Law Journal*, March 8, 2019
- "The Unexpected Impact Judge Kavanaugh's Appointment to the Supreme Court Could Have on U.S. Securities Laws" (Co-Author), Thomson Reuters *Wall Street Lawyer*, November 2018
- "The Unexpected Impact Judge Kavanaugh's Appointment to the Supreme Court Could Have on U.S. Securities Laws" (Co-Author), ABA Tort Trial and Insurance Practice Section, Professional Liability Insurance Newsletter, Fall 2018
- Quoted in "Thirteen Social Media Mistakes Your Business Is Making That Could Result in Legal Trouble," *Observer*, August 7, 2017

PRESENTATIONS

- "D&O & Areas of Concern in 2025 and Beyond," (Co-Presenter), Client Presentation, June 25, 2025
- "D&O Liability in the Digital Age" (Co-Presenter), LVL/Allied World CE/CLE, New York City, New York, May 7, 2018