

## Sona Ganatra

Partner

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*I am a partner and co-head of Fox Williams' financial services team, specialising in regulatory investigations and corporate internal investigations.*

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Sona is Co-Head of the financial services department at Fox Williams and is the financial services contentious regulatory and investigations practice lead.

Sona represents financial institutions and senior executives on complex regulatory issues and FCA, PRA and SFO investigations. Sona specialises in advising on matters such as: SMCR; allegations of non financial misconduct; governance and culture; systems and controls failures; money laundering compliance; bribery and corruption; fraud; market misconduct; and financial misstatements, and supports clients navigate enforcement action, prosecution, Supervisory interventions (including restrictions and skilled persons reviews), and remediation.

Sona leads the firm's independent investigations practice and has extensive expertise in managing sensitive and complex investigations, both inside and outside the regulated sector and across a number of jurisdictions, as well as acting for senior executives that are either the subject of or a witness to such investigations. Sona recently led the FW team with one of the independent investigations at the CBI with respect to historic allegations of criminality and sexual misconduct. Her instructions regularly require liaising with a number of internal and external stakeholders including regulators, law enforcement authorities and Government bodies and committees.

Sona has invaluable first-hand experience through her secondment to the (then) FSA Enforcement Division and is able to draw upon that experience to navigate her clients through the enforcement process. She is a contributing author to the GIR Practitioner's Guide to Global Investigations and is regularly called upon to provide training on regulatory matters and investigations best practice to firms.

## Legal Expertise

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- FCA, PRA, SFO and FRC Investigations
- Independent Investigations
- ILA / senior executive representation
- Financial services regulation
- s166 skilled persons reviews
- Supervisory interventions including restrictions

- Non financial misconduct
- Bribery and corruption

## Experience

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- Led an internal investigation for a large multinational corporate in the courier sector to assess governance and management failures arising out of its response to historic allegations of bribery and misconduct at a senior level.
- Led the high profile independent investigation in relation to multiple allegations of sexual misconduct and other inappropriate behaviour at the CBI (the UK's largest business lobbying group) as reported by the [Guardian](#)
- Acted for senior individuals in relation to the ongoing Upper Tribunal proceedings and the FCA and SFO investigations and proceedings brought against Barclays Bank Plc and others relating to the 2008 capital raisings from the Qatar Investment Authority.
- Acted for a significant number of senior lawyers and executives (up to C-suite and non-executive director level) at a major retail bank, in relation to the Dame Linda Dobbs [Review](#)
- Represented a former head of compliance for an UK/US investment bank in relation to an internal investigation and FCA queries relating to allegations of misconduct and governance failures.
- Advised a US/UK investment firm in relation to allegations of non-financial misconduct by FCA Certified employees.
- Advised a UK bank in relation to allegations of misconduct and concerns regarding poor governance by Senior Managers.
- Advised a UK bank with respect to complex allegations of criminality by shareholders including liaison with the FCA and PRA.

## Accreditations

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LEADING PARTNER

Legal500

UNITED KINGDOM

2025