

Thomas A. Roberts

Principal

New York

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Tom Roberts is a principal in the firm's Financial Institutions practice area in New York. Tom is an experienced litigator whose practice focuses on matters relating to the securities and financial services industries, including the defense of securities brokers/dealers, financial service firms, and financial industry professionals in litigation and arbitration. Tom advises and represents broker/dealers and their registered representatives in regulatory investigations and actions commenced by the SEC, FINRA and State Securities Commissioners. Tom also represents the telecommunications industry in litigation and regulatory matters, and serves as general counsel to the boards of several trade associations, providing corporate governance and antitrust advice.

Tom has appeared as lead counsel in federal and state courts, arbitration proceedings before all major self-regulatory organizations, private dispute resolution organizations, and regulatory agencies in cases throughout the United States. He has also argued before the U.S. Circuit Court of Appeals for the Second, Third and Fifth Circuits.

Tom is a member of the Securities Industry and Financial Markets Association's Compliance and Legal Division and has contributed to the Business Lawyers' Annual Review of Securities Case Law Developments. Tom is a member of the Advisory Board of Resource Bank, New Orleans, LA, and serves on the investment committee of the Gleason Foundation, New Orleans, LA. Tom has also served on the Board of the Telluride Academy, Telluride, Colorado.

Tom has spoken at seminars and authored articles for the Practicing Law Institute and Tulane University Law School. He has taught securities law at a program sponsored jointly by New York Law School and Tulane University Law School in London, England.

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AREAS OF PRACTICE

Alternative Dispute Resolution
COVID-19 Task Force
Financial Institutions
Financial Institutions Litigation and Arbitration
Public Funds Advisory

EDUCATION

- New York Law School, J.D., 1988
- Manhattan College, B.A., 1984

ADMISSIONS

Louisiana
New Jersey
New York
U.S. Circuit Court of Appeals for the Second, Third and Fifth Circuits
U.S. District Courts for the Southern, Eastern, Western, and Northern Districts of New York
U.S. District Court, District of New Jersey
Eastern, Middle, and Western

Awards & Accolades

- America's Top Litigators
- Recognized in *The Best Lawyers in America*®, 2005-2021
- Recognized in *The Best Lawyers in America*®, Securities / Capital Markets Law 'Lawyer of the Year' New Orleans 2014
- Recognized in *Louisiana Super Lawyers*, 2007, 2010-2014, 2016-2017
- Recognized in *New Orleans Magazine*, Top Lawyers
- Martindale-Hubbell AV® Preeminent Rating
- Recipient of the Joseph J. Arenson Award

Experience

- Successfully represented a broker-dealer concerning allegations of material omissions about the sale of Auction Rate Securities at trial in the U.S. District Court, Eastern District of Louisiana, and on appeal before the U.S. Court of Appeal for the Fifth Circuit.
- Represented national broker-dealers and registered financial advisors before FINRA Dispute Resolution and in state and federal courts across the country, including Louisiana, Arkansas, Nevada, Mississippi, Tennessee, Virginia, Texas, North Dakota, South Dakota, New Mexico, Massachusetts, New York, New Jersey, Connecticut, Florida, Colorado, Illinois, Ohio, and South Carolina and before the Judicial Panel on Multidistrict Litigation.
- Successfully represented the CEO of a publicly traded oil and gas company in a securities class action, following the revision of audited financial statements concerning reported natural gas reserves.
- Defeated claims against a broker-dealer and financial advisor, concerning the sale of variable annuities in Louisiana state court, by arguing that the variable annuities were insurance products and the plaintiff's claims were therefore time-barred.
- Represented a national broker-dealer in a case where a registered representative was selling away from the firm. Defeated class allegations and settled the matter on terms very favorable to the client.

News & Alerts

44 Bressler Attorneys Recognized By Best Lawyers in America 2021, Including 2 "Lawyers of the Year"
Firm News, 08.20.2020

Districts of Louisiana

Eastern District of Texas

26 Bressler Attorneys Recognized by Best Lawyers in America 2020, Including 3 'Lawyers of the Year'
Firm News, 08.15.2019

25 Bressler Attorneys Recognized by Best Lawyers in America 2019
Firm News, 08.15.2018

Speaking Engagements & Events

Avoiding Pitfalls in the Investment of Public Funds
Webinar, 09.30.2020

Articles & Publications

Investment of Public Funds - Greater Return, if You Know Where to Look for It
Alert, 08.05.2019

Investment of Public Funds - Liability for Violations of Statutes re Investment of Public Funds
Alert, 07.24.2019

Investment of Public Funds - Pitfalls of Neglecting Periodic Review of Public Money Policies
Alert, 07.08.2019

Investment of Public Funds - Unraveling Layers of Regulation
Alert, 06.17.2019

Professional Affiliations

- Securities Industry Financial Markets Association, Legal and Compliance Division
- Bar Association of the Fifth Federal Court
- American Bar Association
- Association of the Bar of the City of New York
- Louisiana State Bar Association
- New Jersey State Bar Association
- New York State Bar Association
- Securities Industry Association - Compliance Division