

## Thomas A. Roberts

Managing Principal, New York

New York

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Tom Roberts is the Managing Principal of the firm's New York office, and a member of the firm's Financial Institutions practice group.

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.

17 State Street  
34th Floor  
New York, NY 10004

### 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

- Included in the list of the *Best Lawyers in America*®, 2005-2023
- Received the *Best Lawyers in America*®, "Lawyer of the Year" award for Securities/Capital Markets Law in New Orleans, LA, 2014
- Selected to the list of *Louisiana Super Lawyers*, 2007, 2010-2014, 2016-2017
- Recognized in the list of *New Orleans Magazine's* "Top Lawyers"
- Selected to the list of *Martindale-Hubbell AV*® Preeminent lawyers
- Recipient of the Joseph J. Arenson Award

*No aspect of this or any advertisement has been approved by the Supreme Court of New Jersey. A description of the award methodologies can be found [here](#).*

## 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.

Districts of Louisiana

Eastern District of Texas

## News & Alerts

50 Bressler Attorneys Recognized By Best Lawyers in America 2023, Including 1 “Lawyer of the Year” and 17 “Ones to Watch”

Firm News, 08.18.2022

## Professional Affiliations

- Member, Legal and Compliance Division, SIFMA
- Member, Bar Association of the Fifth Federal Court
- Member, American Bar Association
- Member, Association of the Bar of the City of New York
- Member, Louisiana State Bar Association
- Member, New Jersey State Bar Association
- Member, New York State Bar Association