

# Thomas A. Roberts

## PARTNER

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Office: New York



## An experienced litigator who is creative and thoughtful in developing successful litigation strategies.

Tom's practice focuses on serving the securities and financial services industries, including defending securities brokers and dealers, financial services firms and financial professionals in litigation and arbitration. He also advises and represents brokers and dealers and their registered representatives in regulatory investigations and actions launched by the Securities Exchange Commission, Financial Industry Regulatory Authority (FINRA) and state securities commissioners.

Tom also represents telecommunications clients in litigation and regulatory matters. He serves as general counsel to the boards of several trade associations, providing corporate governance and antitrust advice.

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

## PRACTICES & INDUSTRIES

- Class Action
- Securities
- Securities Litigation, Arbitration & Enforcement Actions
- Business Litigation

## 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 Northern, Southern, Eastern and Western Districts of New York
- U.S. District Court, District of New Jersey
- Eastern, Middle and Western Districts of Louisiana
- Eastern District of Texas

## EDUCATION

New York Law School, J.D., 1988

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# Thomas A. Roberts

Prior to joining Stinson, Tom served as the New York office managing principal of a preeminent, national, full-service law firm.

Manhattan College, B.A., 1984

## EXPERIENCE

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 Appeals for the Fifth Circuit.

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.

Represented national broker-dealers and registered financial advisors in dispute resolution before FINRA and in state and federal courts across the country and before the U.S. Judicial Panel on Multidistrict Litigation.

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.

Defeated claims against a broker-dealer and financial advisor concerning the sale of variable annuities in Louisiana state court, arguing that the variable annuities were insurance products and the plaintiff's claims were therefore time-barred.

## RECOGNITIONS

*Best Lawyers in America*, 2005-2023

"Lawyer of the Year," *Best Lawyers in America*, Securities/Capital Markets, 2014

Louisiana *Super Lawyers* list, 2007, 2010-2014, 2016-2017

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"Top Lawyers," *New Orleans Magazine*

*Martindale-Hubbell*, Rated AV® Preeminent™

Joseph J. Arenson Award

## PROFESSIONAL & CIVIC ACTIVITIES

American Bar Association

Association of the Bar of the City of New York

Bar Association of the Fifth Federal Court

Gleason Foundation

- Investment Committee

Louisiana State Bar Association

New Jersey State Bar Association

New York State Bar Association

Resource Bank

- Advisory Board

Securities Industry and Financial Markets Association

- Legal and Compliance Division

Telluride Academy

- Former board member

## NEWS

*Law360* Highlights Tom Roberts Joining Stinson; Focus on Financial Industry Arbitration, Corporate and Securities Litigation

02.27.2024

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## Thomas A. Roberts

Veteran Securities Litigation Attorney Joins Stinson in New York City

02.16.2024

### **SPEAKING ENGAGEMENTS**

Tom is a frequent speaker at seminars for the Practising Law Institute and Tulane University School of Law. He also taught securities law at a New York Law School-Tulane Law School jointly-sponsored program in London, England.

### **PUBLICATIONS**

Tom has authored many articles for the Practising Law Institute and Tulane University School of Law.

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