

Thomas R. Westle | Partner  
Corporate

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Thomas Westle provides counsel to registered and unregistered investment companies, independent boards of directors/trustees of registered investment companies and business development companies, and investment advisers. He serves as co-chair of the firm's Investment Management group, and focuses his practice on the following areas:

- Registration, regulation, corporate governance, reorganizations and mergers of investment companies including open-end, closed-end, and business development companies as well as investment advisers
- Representation of independent boards of directors/trustees of investment companies
- Representation of investment companies and independent boards of directors/trustees in SEC examinations and enforcement actions
- Representation of investment companies, independent boards of directors/trustees, and investment advisers regarding reorganizations, mergers and acquisitions
- Preparation of SEC exemptive applications and no-action letters
- Financing transactions relating to closed-end investment companies including interval funds and business development companies
- Creation and organization of private investment funds and hedge funds

Tom serves as underwriters counsel to Ladenburg Thalmann & Co. Inc. with respect to numerous equity and debt financing transactions for new and existing closed-end investment companies and business development companies.

Tom authors Blank Rome's quarterly *Fund and Investment Management Regulatory Update and Recent SEC Actions* publication.

Tom organizes and is a featured speaker at Blank Rome's recurring Chief Compliance Officer's Roundtable in New York, NY.

## Outside The Firm

Tom is a member of the Board of Directors of The Singers Forum in NYC and previously served as a member of the Board of the New York State Board of Easter Seals, the Hudson Valley Operations Board of Easter Seals, and the New York City Operations Board of Easter Seals, serving as Chairman of the New York State Board of Easter Seals from 2007 to 2008.

## Select Engagements

- Underwriters Counsel to Ladenburg Thalmann & Co. Inc. with respect to numerous equity and debt financing transactions for new and existing closed-end investment companies and business development companies.

## Admissions

- New Jersey
- New York

## Memberships

- Mutual Fund Directors Forum

## Education

- Rutgers, the State University of New Jersey at New Brunswick, BA
- Elisabeth Haub School of Law at Pace University, JD

## Recognitions

- AV Preeminent®, listed in Martindale-Hubbell®
- 2024, Registered Funds Law, listed in *Chambers USA*
- 2013, "Top Rated Lawyer in Securities Law" listed in the September issue of *The American Lawyer & Corporate Counsel* magazine

## Professional Activities

Tom is frequently quoted in the financial press on investment company, investment adviser, and private investment fund issues, and has appeared on CBS's Marketwatch radio program as well as Bloomberg Television.