



## W. Thomas Conner

SHAREHOLDER

WASHINGTON, D.C.

📞 202.965.8139

📠 202.965.8104

CONNECT

✉️ [tconner@carltonfields.com](mailto:tconner@carltonfields.com)

## Overview

For more than 25 years, Thomas Conner has represented financial services companies, including mutual funds, exchange-traded funds (ETFs), insurance companies issuing fixed and variable annuities, commodity pools, and commodity pool operators.

In his practice, Thomas draws on his law firm, regulatory agency, and in-house experience to offer client-focused practical solutions. Thomas combines his regulatory experience with extensive knowledge of mutual funds, ETFs, commodity pools, variable contracts, and investment advisory services to help clients understand the application of financial services and rules of regulatory agencies. He also assists clients as they navigate complex regulatory requirements governing insurance and securities products, including federal securities laws directed by the U.S. Securities and Exchange Commission (SEC) and the Commodity Futures Trading Commission (CFTC).

Thomas has served as vice president and general counsel of the Insured Retirement Institute (IRI), and was also a staff member of the SEC in the Office of Disclosure and Investment Adviser Regulation and the Office of Insurance Products.

## Areas of Focus

### Practices

- Financial Services Regulatory
- Life, Annuity, and Retirement Solutions

### Industries

- Life, Annuity, and Retirement Solutions

- [Securities Litigation and Enforcement](#)
- [Life, Annuity, and Retirement Litigation](#)
- [Investment Funds](#)
- [Securities & Investment Companies](#)

## Insights

05.09.2024

Insurers and Underlying Funds Sprint to Finalize Delivery Procedures for Tailored Shareholder Reports

---

05.09.2024

Last Lap in SEC RILA Rulemaking: Critical Unresolved Issues

---

11.03.2023

A Bird's Eye View of the SEC's New Tailored Shareholder Reports Rule

---

11.02.2023

ETFs in Variable Contracts: Still a Round Peg in a Square Hole?

---

09.28.2023

SEC Folds on Swing Pricing for Money Market Funds: Odds Lengthen Against Swing Pricing for Other Fun

---

05.25.2023

ETFs in Variable Contracts: A New Marketing Opportunity?

---

05.25.2023

SEC Relief for RILA Issuers to Use Statutory Financials: Has the Moratorium Been Lifted?

---

04.13.2023

SEC's Proposed Swing Pricing and Hard Close Rule: A Hard Sell

*The Investment Lawyer*

---

10.01.2022

The Digital Asset Regulatory Landscape Begins to Take Shape: The Responsible Financial Innovation Act

*The Investment Lawyer*

---

## News

06.27.2023

Tom Conner Quoted in Law360: "BlackRock Filing Ignites New Hope for Bitcoin ETF Approval"

---

01.23.2023

Seasoned Financial Services Lawyer W. Thomas Conner Joins Carlton Fields

---

## Speaking Engagements

- "The SEC Regulatory Landscape: New Cases, New Rules," 2024 IRI Annual Conference, Nashville, TN (April 3, 2024)
- "Variable Insurance Products: Disclosure, Regulatory, and Legislative Developments," ALI CLE Conference on Life Insurance Products, Washington, D.C. (November 2, 2023)
- "Too Much, Too Fast? Navigating the SEC's Colossal Regulatory Agenda," IRI Annual Conference, Miami, FL (March 16, 2023)
- Integrity Marketing Group LLC Compliance Summit (2023)
- "Crypto: Product and User Trends," ETFGI Global ETFs Insights Summit, New York, NY (November 15, 2022)
- "Registered Insurance Contracts and the SEC," Practising Law Institute (March 31, 2022)

## Credentials

### Education

- George Washington University Law School (J.D., magna cum laude, 1989)
- George Washington University (MBA, magna cum laude, 1989)

- Suffolk University (B.S.B.A., summa cum laude, 1984)

## Bar Admissions

- District of Columbia
- Virginia
- Massachusetts