



## JUSTIN C. DAUSCH

COUNSEL

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### BIOGRAPHY

Justin C. Dausch serves as Counsel in both the Corporate & Business and Banking & Finance Groups. His practice primarily involves assisting investment management and banking clients with complex financial services regulations, corporate compliance, and governance matters. Justin has extensive knowledge in securities market regulation, covering areas like product and broker-dealer regulation, as well as Securities and Exchange Commission (SEC) and FINRA examinations and investigations. His expertise also includes handling compliance programs and internal inquiries. Justin has served in various key roles, including Chief Compliance Officer, AML Officer, and Senior Counsel at numerous SEC and FINRA-registered investment management firms.

### CLIENT EXPERIENCE

- Investment advisers, hedge funds, and registered investment companies
- Broker-dealers and principal underwriters
- Private equity and private real estate managers
- Commercial banks and credit unions

### COMMUNITY & PROFESSIONAL

- AXYS Genetic.org, Board Member & Treasurer, 2018 - 2023
- Profugo, Board Member, 2020 - Present

### EDUCATION

J.D., William & Mary Law School  
B.A., *magna cum laude*, University of South Carolina, Criminology and Criminal Justice

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### ADMISSIONS

Pennsylvania  
New Jersey

## PRACTICE FOCUS

- Investment Advisors and Private Funds - Regulatory Compliance
- Registration with the SEC and examinations by the SEC's Division of Examinations
- Design and implementation of regulatory compliance and anti-money laundering programs
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Broker-dealer registration, licensing, and FINRA compliance

- Securities Law Compliance

## INDUSTRIES

- Private equity & venture capital
- Financial services & asset management
- Emerging growth
- Public companies
- Commercial real estate
- Investment Banking

## NEWS

RCCB and 3iCO Launch Joint Venture  
Firm News, *RCCB*, April 3, 2024

## PUBLICATIONS

New Year, New Reporting Requirements: What the Corporate Transparency Act Means for Your Business  
Publication, *RCCB Client Alert*, December 20, 2023