

## MARK D. SHAFFER JOINS RCCB AS PARTNER IN CORPORATE & BUSINESS PRACTICE

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RCCB is proud to announce that Mark D. Shaffer, a seasoned attorney with over 20 years of experience in financial regulatory and compliance law, has joined the firm as a partner in its Corporate & Business Practice. Mark brings deep expertise in advising U.S. and foreign financial institutions, broker-dealers, investment advisers, cryptocurrency businesses, and fintech companies on navigating complex regulatory frameworks.

Mr. Shaffer has extensive experience with SEC and FINRA rules and regulations, Federal Reserve and banking laws, and BSA/AML regulations. Known for his ability to help clients interpret and apply these laws to emerging technologies and innovative products, he plays a critical role in helping businesses stay compliant in an evolving regulatory landscape.

"We are excited to have Mark join our firm," said John E. Royer, Jr., Managing Partner at RCCB. "His significant experience in financial regulatory matters and his unique ability to guide institutions through complex compliance challenges will be invaluable to our clients. He will also be a great resource for 3iCO, our affiliated compliance consulting company."

In addition to his advisory practice, Mr. Shaffer regularly represents financial institutions and their leadership in government investigations and regulatory proceedings. His track record spans high stakes matters involving allegations of bribery, unregistered securities sales, market manipulation, insider trading, money laundering, OFAC sanctions violations, and accounting fraud.

Mr. Shaffer also assists clients in developing and implementing robust compliance programs and regulatory remediation plans, including drafting and updating policies, procedures, controls, and compliance manuals. His work ensures that institutions remain current on regulatory changes while minimizing risk exposure.

"I know firsthand what it feels like to be the client, facing regulatory pressures and navigating complex compliance issues," said Mark Shaffer. "That experience allows me to offer practical, business-focused legal advice that truly aligns with my clients' needs. I'm looking forward to working with RCCB and helping our clients successfully navigate today's ever-changing regulatory landscape."

Prior to joining RCCB, he was a Partner at Tannenbaum Helpert Syracuse & Hirschtritt LLP in New York and before that a Shareholder with Greenberg Traurig, LLP. Mr. Shaffer served as an in-house counsel and compliance officer for 16 years with BNY Mellon, Deutsche Bank, UniCredit, Axiom and Morgan Stanley before returning to private practice. Earlier in his career, he clerked for The Honorable Richard L. Nygaard of the U.S. Court of Appeals for the Third Circuit.

Outside of his legal career, Mr. Shaffer is an avid runner, having completed six marathons and over 30 half-marathons. Before attending law school, he taught English in Korea and worked as a SCUBA instructor in the Philippines. He enjoys spending weekends with his family exploring New York City's parks.

## **PROFESSIONALS**

Mark D. Shaffer

## **CAPABILITIES**

Corporate & Business