

RCCB AND 3ICO LAUNCH JOINT VENTURE

FIRM NEWS, *RCCB* - ROGER J. BRAUNFELD, JUSTIN C. DAUSCH, LAURA LEE FLANAGAN, JOHN E. ROYER, JR., APRIL 3, 2024

Royer Cooper Cohen Braunfeld LLC (RCCB) is excited to announce a joint venture between the firm's partners and 3iCO, LLC, a provider of compliance consulting and outsourced Chief Compliance Officer (CCO) services. This new venture enables RCCB to cater more efficiently to regulatory compliance matters for its investment management, fund and broker-dealer clients.

Both Laura Lee Flanagan and Justin C. Dausch jointly lead 3iCO, with Laura serving as CEO and Justin as COO. Additionally, they both hold positions as counsel with RCCB in the firm's New York and Conshohocken offices, respectively. RCCB's Managing Partner, John E. Royer, Jr., will serve as 3iCO's Chairman, while RCCB co-founder, Roger J. Braunfeld, will serve on the Board with Laura and Justin.

"Today's announcement speaks volumes about who RCCB is and what we do for our clients and our employees - empower ambition," said Royer. "Through our affiliated alternative investment vehicle, we are supporting the entrepreneurial spirits of Laura and Justin, who are following their passion for helping investment management companies, funds and broker-dealers better manage their compliance needs. Additionally, this joint venture provides another layer of expertise to which we can refer applicable clients as needs arise."

As an affiliated consulting company of RCCB, 3iCO specializes in crafting a customized approach to compliance programs, ensuring that companies can meet their regulatory requirements effectively. 3iCO offers comprehensive solutions tailored to an organization's specific needs, providing registered investment advisors with independent compliance officers and offering investment advisors, funds and broker-dealers compliance solutions and compliance consulting. By partnering with 3iCO, RCCB clients can seamlessly integrate compliance strategies with their existing legal services, ensuring a holistic approach to risk management and regulatory compliance.

"I am thrilled to launch this joint venture with RCCB," said Flanagan. "RCCB is a firm that thinks differently about the practice of law, the business needs of its clients, and how a firm should operate. Launching 3iCO, affiliated with RCCB, gives us, and by extension, the companies we serve, a breadth of knowledge and experience that sets us apart. There is a tremendous need for customized compliance consulting and services in today's business environment. In offering our clients a comprehensive solution, we provide them with a team of compliance experts, personalized attention, with a more attractive fee structure."

Flanagan boasts extensive experience as an attorney and business advisor to independent financial service companies. She has adeptly constructed compliance programs from registration through design and maintenance. Flanagan has supported numerous clients

through regulatory exams with the SEC, FINRA, the DOL, and State agencies. She continues to serve as outsourced General Counsel and/or Chief Compliance Officer for investment advisory firms, leveraging her wealth of practical and educational expertise.

Dausch's expertise lies in providing comprehensive assistance to investment management and broker-dealer clients. He specializes in navigating intricate financial services regulations, particularly in the securities market. With a deep understanding of securities market regulation, Justin addresses product and broker-dealer regulation complexities. He also oversees SEC and FINRA examinations and investigations. Leveraging his extensive experience, Justin has held pivotal roles such as Chief Compliance Officer, AML Officer, and Senior Counsel across various SEC and FINRA-registered investment management firms. He is known for his proficiency in conducting mock regulatory examinations and skillfully guiding clients through successful regulatory exams.

To learn more about 3iCO and its offerings, please visit <https://www.3icollc.com>.

PROFESSIONALS

Roger J. Braunfeld

Justin C. Dausch

Laura Lee Flanagan

John E. Royer, Jr.