



PEOPLE-FIRST COMPLIANCE.
BUSINESS-FORWARD THINKING.

**We Harness Regulations to Create Results.
Compliance = Confidence**

■ info@3iCOSecurities.com

3iCO Securities is a broker-dealer offering securities distribution and M&A solutions partnering with deal sponsors, advisors, registered representatives and private funds to meet rigorous FINRA regulatory requirements.



Services & Solutions

3iCO Securities LLC is a FINRA-registered broker-dealer designed to help issuers and sponsors turn compliance into a value accelerator.

Distribution Solutions:



Private placements, M&A, and solicitation arrangements executed under a compliant framework to help issuers connect with qualified investors efficiently. Accreditation and KYC integrated into onboard workflows.

Infrastructure:



Hands-on supervision from experienced Series 24 Principals and support staff who navigate the day-to-day complexities of operating in a highly regulated environment.

Strategic Relationships:



Connections with trusted legal, tax, custody, and technology partners that enhance efficiency and reduce friction throughout the transaction process.

Platform Specialties:



- Registered representative licensing and supervision
- Investment due diligence
- Investor onboarding
- KYC and AML procedures
- Investor eligibility verification
- Secure communications
- Regulatory exam preparation and support.

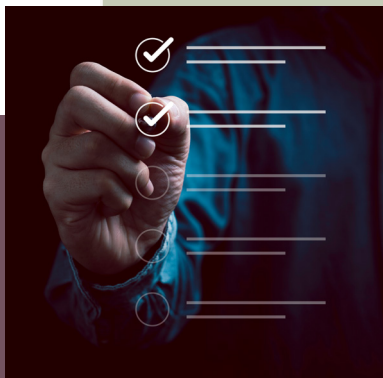
Vertical Integration:



Comprehensive support through our strategic partners across the full life cycle of private investment—from organization and placement to ongoing management and reporting.

About 3iCO Securities

Compliance should do more than check boxes... it should build confidence, trust, and momentum.



Founded by a team of former Chief Compliance Officers and attorneys with specialties in securities law, 3iCO Securities LLC reimagined compliance as a strategic driver of growth, delivering practical, proactive solutions powered by deep regulatory insight and a people-first approach.

3iCO Securities LLC is a FINRA-registered broker-dealer designed to help issuers and sponsors turn compliance into a value accelerator. Our team of seasoned FINRA principals and registered representatives brings decades of experience across capital markets, real-estate securities, and private placements. We partner with issuers and fund managers to structure transactions that meet both their strategic goals and regulatory obligations, from formation to execution and beyond.

Why You Need a Broker Dealer

Operating without a registered broker-dealer is not just risky, it can jeopardize your business, your investors, and your reputation.

A broker-dealer acts as the regulatory anchor for any securities offering. FINRA registration requires robust supervisory procedures, independent due diligence, and strict adherence to anti-money-laundering and investor-protection rules. Issuers who attempt to raise capital outside of the restrictive issuer safe harbor, risk civil penalties, rescission demands from investors, and regulatory enforcement actions.

Working with a registered broker-dealer like 3iCO Securities ensures that every transaction distribution meets regulatory standards. We help you focus on your business goals while we manage the supervisory framework that keeps you in compliance.

For issuers and fund managers, this means greater investor confidence, transactional credibility, and access to experienced FINRA-registered professionals who understand how to bridge strategy and regulation.

In short: If you are in the business of raising capital, you cannot afford to operate without a broker-dealer. And you deserve one that sees compliance not as a burden but as a competitive advantage.

Leadership Team

Each leader at 3iCO Securities combines operational discipline with regulatory acumen, ensuring that compliance and growth move in lockstep.

Justin C. Dausch

***Principal Manager, COO & Counsel
FINRA Principal and Board Member***



Prior to launching 3iCO Securities, Justin served as principal managing a leading private placement broker-dealer engaged in principal underwriting involving various different networking arrangements. Every day Justin offers comprehensive assistance to investment management and broker-dealer clients, specializing in navigating the intricate landscape of financial services regulations. Justin adeptly tackles complexities in product and broker-dealer regulation and oversees Securities and Exchange Commission (SEC) and FINRA examinations and investigations with finesse. Justin has held pivotal positions such as Chief Compliance Officer, AML Officer, and Senior Counsel across various SEC and FINRA-registered investment management firms.

Donna Rittershausen

***Principal Manager, CCO
FINRA Principal and Board Member***



Donna has served as the company's Principal, managing the business for over ten years. She has specialized in SEC and FINRA regulatory compliance for over 25 years, serving in Chief Compliance Officer and Executive roles with SEC-registered Investment Advisers engaged in wealth management and private fund businesses, as well as private placement Broker-Dealers. Donna has developed expertise in liquid asset management, private placements, AML programs, operations, corporate governance, and risk management, with a passion for enhancing the investor experience. As Compliance Director at 3iCO, Donna effectively integrates workable compliance solutions for our clients. She holds an insurance producer license in Pennsylvania, as well as various FINRA securities licenses.



Check the background of this firm and its investment professionals on [FINRA's BrokerCheck.](#)



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Securities offered through 3iCO Securities LLC, Member FINRA/SIPC | Private investments involve risk and are not suitable for all investors.

No guarantee — may lose value — not FDIC-insured