

Roseann Higgins

Chief Compliance Officer

Roseann serves as a Chief Compliance Officer with Dinsmore Compliance Services. Roseann has spent over 25 years in the financial services industry. Over the course of her career, Roseann served in roles relating to FINRA/broker dealer compliance, corporate compliance, and compliance for Registered Investment Advisers, as well as working in Human Resources. Prior to joining Dinsmore Compliance Services, Roseann served as a Director of Compliance Services at Key Bridge Compliance. She worked to ensure the effective administration and oversight of client's compliance programs and built strong, personal relationships with the firm's clients.

Roseann's experience extends beyond investment compliance. Prior roles include Director of Compliance and Human Resources at NCP Finance in Dayton, Ohio, a boutique lending firm. There she focused on all aspects of banking and lending compliance as well as Human Resources. Roseann holds the IACCP certification.

Roseann has two adult children and resides in Cincinnati, Ohio with her husband Michael and Norman the Rottweiler.

EDUCATION

Xavier University, B.S. in Business Administration
Xavier Leadership Center, Project Management Certification
Series licenses 6, 7, 8 and 63

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