



James R. Hadaway, (Non-Attorney)

Vice President and Compliance Officer, Dinsmore Compliance Services
james.hadaway@dinsmorecomplianceservices.com

Cincinnati, OH
Tel: (513) 832-5477

James is a vice president and compliance officer with Dinsmore Compliance Services. He has more than two decades of experience in the financial services industry, with particular emphasis on broker-dealer and adviser operations and compliance.

Previously, he served as a senior officer for various financial services firms, where he had direct oversight of trading, customer service, and compliance functions.

Currently, James holds the Investment Adviser Certified Compliance Professional (IACCP) designation and previously held FINRA series 7, 24, 4, 53, and 65 licenses.

Services

- Dinsmore Compliance Services

Education

- Xavier University (M.B.A., 2004)
- University of Georgia (B.B.A., 1996)
 - Economics