

## INDEPENDENT AML TESTING

The USA PATRIOT Act, FINRA, and the Bank Secrecy Act require an independent testing of a firm's anti-money laundering compliance program (AML). *RRS*' AML compliance testing service offers an in-depth review of your broker-dealer's AML program to measure the effectiveness in meeting all USA PATRIOT Act, FINRA, Bank Secrecy Act, OFAC and FinCEN requirements.

*RRS*' AML Testing program covers all critical AML requirements, including:

- OFAC compliance
- FinCEN compliance
- Customer identification program
- Private banking, correspondent, and foreign bank account due diligence
- Detection and reporting of suspicious activity (SAR-SF Filings)
- Currency transaction reporting
- Notification and escalation procedures
- AML Program policies and procedures
- AML Training

## ABOUT RRS

*Renaissance Regulatory Services, Inc.* provides comprehensive compliance and operational consulting and support services to broker-dealers and investment advisers. Specializing in compliance audits, written supervisory procedures and internal controls, *RRS* provides the experience and insight to meet all your compliance needs. Our services are customized to fit your firm's operations, and in most cases are performed on site. *RRS*' staff and partners are former regulators and compliance professionals who have extensive experience with SEC, FINRA, NYSE and state rules and regulations.

*Manage Through Change* – *RRS* is founded on the premise that the financial services industry is constantly changing. New products and services, changing regulations and globalization create unique issues in compliance and operations for firms of all sizes and business models. In order to *Manage Through Change*, firms must have the ability to quickly recognize and respond to the compliance and operational challenges that arise. *RRS* supports firms in this mission by providing comprehensive compliance and operational solutions in a customized format. Let *RRS* help you *Manage Through Change*.

## CONTACT US

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