



Renaissance Regulatory Services

Broker-Dealer
Fact Sheet

Compliance
Through Reliance

Advertising Review Services

Renaissance Regulatory Services (RRS) advertising and communications with the public consulting solutions provides financial services firms with the tools necessary for receiving a clean comment letter when materials are filed with FRINRA. RRS brings a unique perspective to a range of regulatory and compliance issues, leveraging our team's collective experience as former NASD/FINRA, SEC and State regulators, as well as compliance professionals with some of the industry's top investment firms. With our industry leading solution, which is available through a retainer relationship as well as on a project-by-project basis, your compliance practices are streamlined, allowing your firm to strengthen its ability to navigate the regulatory filing process and/or to supplement its compliance staff. These compliance services include the following areas:

Advertising Consulting

- Written supervisory procedures analysis/update
- Streamline internal processes for review, approval, filing and recordkeeping
- CE Firm Element sales material training requirements development
- Conduct annual Compliance Meetings

Advertising and sales Literature Review

- Regulatory Filing process management
- regulatory comment letters and inquires responses
- Rule interpretations and poisons consulting

Literature Training

- Rules and regulation training for legal, marketing and communications associates
- Techniques and guidance for addressing FINRA comment letters

National Advertising and Special Projects

- Regulatory filing process management for special projects, including specific national or regional advertising campaigns, websites, social media, or new products

About Us

Renaissance Regulatory Services, Inc. was built on the premise that the financial services industry is constantly changing, so our clients need the most contemporary tools and insights in order to adapt to the unique compliance and operational challenges that arise in this ever-evolving environment.

Our purpose today is the same as it was on the day we were founded in February 2006: to empower our clients to Manage Through Change, with comprehensive and proactive solutions and audits designed by Real, Reliable consultants, and tailored to our clients' Strategic needs.

Contact Us

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Investment Adviser
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The SEC advertising rule (Rule 206(4)-1) and related no-action letters can be vague and complicated and they are almost always an area of review for regulators. RRS' experienced staff can review or prepare your advertising policies and procedures or assist with the review of current or pending advertising materials for compliance with SEC rules and no-action guidance.

General Reviews - *H* Take advantage of RRS' regulatory experience to ensure that your marketing materials comply with SEC rules and no-action guidance.

Performance Advertising - Performance advertising deficiencies are one of the SEC's most frequent findings. RRS can review your marketing materials, method of calculating performance, and policies and procedures to ensure that you are meeting SEC requirements related to performance advertising.

Policies and Procedures - RRS can prepare or review your firm's policies and procedures for compliance with the SEC's advertising rules and industry best practices, ensuring that you are not caught off guard during your next regulatory examination.

Training - RRS offers training to help your staff understand the firm's regulatory requirements and what to look for before distribution of advertising materials.

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