



Renaissance Regulatory Services

Broker-Dealer Fact Sheet

*Compliance
Through Reliance*

Compliance Administrator

Renaissance Regulatory Services, Inc. provides comprehensive compliance solutions to help broker-dealers and investment advisers fulfill their regulatory and compliance obligations while controlling costs. Our staff and partners are former regulators and compliance professionals who have extensive experience with SEC, FINRA, and state rules and regulations. Working together with your organization’s Chief Compliance Officer and Supervisory Principals, RRS will design the support package that best suits your compliance needs from the full range of our Registration, Financial Reporting, and Regulatory Consulting services. Your support package can include onsite orientation and training, periodic on-site regulatory compliance reviews, monthly compliance teleconferences and project management from any, or all, of the following areas.

Registration Services

- Form BD, U4, BR filings and amendments
- FINRA, MSRB, and state filings and renewals
- Customer complaint filings
- Mass transfers

Financial Reporting

- FOCUS filings and Net Capital computations
- Haircut analysis & computation, trial balance
- Balance sheet and income statement
- Annual FINRA and SIPC assessment reports
- FINOP support services

Regulatory Consulting Services

- Written supervisory and Supervisory controls procedures and reviews
- OSJ & branch office inspection
- Anti-money laundering program
- Trading and Market Maker Surveillance examinations
- Broker-dealer startup, implementation, and membership continuance
- Continuing education and needs analysis
- Annual compliance meetings
- Regulatory audit support

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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SERVICE	SUPPORT ONLY	SUPPORT WITH ONSITE
Base Monthly Pricing	\$500	\$3,000
Monthly RCU	Included	Included
Monthly Conference Call With Compliance Administrator	Included / Listen Only	N / A
Monthly Compliance Call with Regulatory Consultant	N / A	Included
WSP Updates	Template	Customized
Off-site testing	Billed separately	Included
On site examinations - Must Pre-schedule	Priced separately	Included - Must Pre-schedule
Access to Regulatory Consultants	Billed per rate schedule and must be preschedule through the CA	Dedicated Regulatory Consultant
Regulatory Examination and Support	72 Hour Notice - Billed per rate schedule	24 Hour Notice - Blended Rate
Regulatory Response	72 Hours	24 Hours

Required time for notice to ensure consultant availability. Additional notice required for onsite support.
RRS' response time to regulatory questions.