



Renaissance Regulatory Services

Fact Sheet

Compliance Through Reliance

Fixed Income Compliance

RRS provides a wide range of customized services to support your firm's corporate, municipal, and other fixed income business operations, including compliance programs, supervisory procedures, examinations, and testing of supervisory control procedures. Our services may be used to help meet FINRA's annual internal inspection requirements of Conduct Rules 3110 and 3120. RRS' team of experts has designed fixed income compliance examinations as stringent as those used by the regulators. These compliance services for fixed income include both customized full scope examinations and focused reviews on specific aspects of your business to determine MSRB, SEC, and FINRA rule compliance in the following areas:

- RTRS and TRACE transaction reporting
- Best execution and price validation for debt securities, including the use of third-party pricing services
- Inventory valuation and haircuts under the SEC's "Ready Market Letters"
- Application of pricing models and portfolio stress testing models
- Confirmations to customers, including pricing and yield disclosures
- Political contributions
- Secondary trading of structured products
- Sales practice, supervision, suitability reviews and supervisory approval
- Official statement filing and delivery
- Underwriting and due diligence
- Counter party due diligence and trade comparison
- Written Supervisory Procedures and supervisory controls

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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