



Renaissance Regulatory Services

BD Fact Sheet

*Compliance
Through Reliance*

Business Planning & Registration Services

RRS' staff has extensive experience assisting broker-dealers navigate the application and registration process with the SEC, FINRA, MSRB and State regulatory authorities. Leveraging our regulatory expertise, RRS guides your firm through these complex processes. RRS will consult with your senior management team to gain an understanding of the broker-dealers' anticipated activities in order to develop a business plan, identify net capital requirements and, regulatory risks business model. Our broker-dealer registration services for new applicants and established firms include:

- **Organization and Start-up Consulting** – RRS will explain the timing, process, and implications of starting your own broker-dealer and help determine the most appropriate course of action.
- **Application and Follow-Up with FINRA and State Jurisdictions** – RRS will assist in the preparation and filing of the Form NMA with FINRA, and all applicable state jurisdictions as well facilitate responses to any additional inquiries.
- **FINRA Business Plan** – RRS can help you prepare your business plan, which details specific information related to your financial wherewithal, ownership and supervisory structure, marketing plan, and internal operations, among other things.
- **Compliance Program** – RRS will work with your team to assess your firm's regulatory risks and create a compliance program including written supervisory and control procedures, anti-money laundering procedures, and a continuing education plan to meet FINRA requirements.
- **Expansions** – RRS supports your firm when adding new business lines, expanding operations or undergoing a merger or acquisition.

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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www.RRSCompliance.com



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IA Fact Sheet

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RRS' staff has decades of experience assisting investment advisers with state and federal registrations, and filing related issues, which have resulted in the registration of over 1,000 state and federal investment advisers and thousands of investment advisor representatives. Whatever your registration needs, RRS has the experience to guide your firm through any registration process.

Our initial registered investment adviser services include:

- **IARD Filings** – RRS will prepare and file your Form ADV Part 1 and any individual registrations (Form U4s) as well as applicable state registrations and notice filings.
- **Form CRS & Form ADV Part 2** – RRS will work with you to create your Form CRS and Form ADV Part 2/Disclosure Brochures.
- **Follow-Up with SEC or State Jurisdictions** – RRS will follow-up with the SEC or applicable state jurisdictions to prepare and facilitate responses to any additional inquiries.
- **Advisory Agreements** – RRS will review your advisory arrangements to ensure compliance with applicable regulations (we do not provide legal advisory).
- **Marketing Materials** – RRS can review your advertising and sales literature for compliance with applicable regulations.
- **Disaster Recovery and Cybersecurity Plan, and Privacy Notice** – RRS can prepare sample Business Continuity and Cybersecurity Plan templates, and a "Safe Harbor" Privacy Policy.
- **Compliance Program** – RRS will work with you to assess your firm's regulatory risks and create a compliance program and code of ethics including written policies and procedures.
- **Recordkeeping System** – RRS will help you set up a recordkeeping system to create and maintain all required records.
- **Disciplinary disclosures** – We provide support to address regulatory disclosures.

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