



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.

- Form BD, U4, BR filings and amendments
- Customer complaint filings
- FINRA, MSRB, and state filings and renewals
- Mass transfers
- FOCUS filings and Net Capital computations
- Annual FINRA and SIPC assessment reports
- Haircut analysis & computation, trial balance
- FINOP support services
- Written supervisory and Supervisory controls procedures and reviews
- Balance sheet and income statement
- 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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**Compliance  
Through Reliance**

SERVICE	SUPPORT ONLY	SUPPORT WITH ONSITE
Base Monthly Pricing	\$1,000	\$1,500
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.