

**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, NYSE and state rules and regulations. We specialize in compliance audits, written supervisory procedures and internal controls. 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 filings and amendments
- FINRA and state filings and renewals
- New member applications, Investment adviser, agent registrations and mass transfers
- Branch office and Customer complaint filings

***Financial Reporting***

- FOCUS filings and Net Capital computations
- Haircut analysis & computation, trial balance, balance sheet and income statement
- General journal
- Check register preparation
- Non- allowable asset schedule
- Schedule of aggregate indebtedness
- Annual FINRA and SIPC assessment reports
- FINOP support services

***Regulatory Consulting Services***

- Written supervisory procedures and Supervisory controls procedures and reviews
- OSJ & branch office inspection
- Regulatory compliance reviews
- Anti-money laundering audits
- Trading and Market Maker Surveillance examinations
- Broker-dealer startup, implementation and membership continuance
- Regulatory mandate consulting
- Continuing education and needs analysis
- Advertising & sales literature review
- Annual compliance meetings
- SEC internal control review and risk management
- Merger and acquisition compliance
- Regulatory due diligence and audit support.

**CONTACT US**

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