

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

John E. Pinto
(202) 463-6575

JohnPinto@RRSCompliance.com
888 17th Street NW, Suite 608
Washington, DC 20006

Louis J. Dempsey
(561) 368-2245

LouisDempsey@RRSCompliance.com
350 Camino Gardens Blvd., Suite 105
Boca Raton, FL 33432

Service	Tier I	Tier II	Tier III
Base Monthly Pricing/Hours Included	\$450 / 2	\$1,000 / 4	\$3,300 / 12
Monthly RCU	Included	Included	Included
Monthly Conference Call with Compliance Administrator	Included/Listen Only	Included/Listen Only	NA
Monthly Compliance Call with Regulatory Consultant	NA	Optional – Must Pre-schedule	Included
WSP Updates ¹	Template	Limited Customization	Fully Customized
Hours Included In Contract Can Accrue	NA	Quarterly	Annually
Discount Preferred Rates	Billed per schedule by service	Blended	Blended
Off site testing	NA	Included	Included
On site examinations – Must Pre-schedule ²	Priced Separately	Optional at blended rates	Included – Must Pre-schedule
Access to Regulatory Consultants	Billed per rate schedule and must be pre-scheduled through the CA.	Included in blended rate, must pre-schedule	Dedicated Regulatory Consultant
Regulatory Examination and Support ³	72 Hour Notice – Billed per rate schedule	48 hour Notice – Blended Rate	24 hour Notice – Blended Rate
Registration Services	Billed per rate schedule	3 hours annually	5 hours annually
Administrative Staff Services ⁴	Billed per rate schedule	10 hours annually	25 hours annually
Regulatory Response ⁵	72 Hours	48 Hours	24 Hours

¹ Procedure reviews billed hourly at established rates.

² Requires separate proposal for unscheduled and special projects not specifically stated in program proposal.

³ Required time for advance notice to ensure consultant availability. Additional advance notice required for onsite support.

⁴ Includes copying, printing, web search, etc.

⁵ RRS' response time to regulatory questions.

Renaissance Regulatory Services, Inc.

350 Camino Gardens Blvd., Suite 105

Boca Raton, Florida 33432

Phone: (561)368-2245 - Fax: (561)807-5442

www.RRSCompliance.com