

## **BUSINESS PLANNING & REGISTRATION SERVICES**

The Staff at *RRS* has over 15 years of experience in assisting applicants navigate FINRA and State registration, licensing, and filing issues, and has participated in the registration of hundreds of Broker-Dealers with the SEC, FINRA, MSRB and State regulatory authorities.

Leveraging our regulatory expertise, *RRS* will guide your firm through the FINRA and applicable state, application processes. *RRS* staff will consult with senior management to gain an understanding of the broker-dealer's anticipated activities in order to develop a FINRA business plan, identify relevant net capital or regulatory risks, and propose a compliance program (including supervisory policies and procedures) that meets your firm's specific regulatory requirements established by FINRA, the SEC, and the States. Call us to find out how we can help with the following.

**Organization and Start-up Counseling** – *RRS* can explain the timing, process and implications of starting your own broker-dealer, and help determine the most appropriate course of action.

**FINRA Business Plan** – *RRS* can help you prepare your FINRA 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 you 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.

**CRD Filings** – *RRS* can prepare and file your Form BD, Form BR and any individual registrations (Form U4s), as well as applicable state registrations through the Central Registration Depository system.

**Other Filings** – *RRS* can prepare and file all other required FINRA filings (e.g., Form NMA, TRACE registration, MSRB application, OATS registration, Option application, State forms, etc.), as applicable.

**Follow-Up with FINRA, SEC or State Jurisdictions** - *RRS* can follow-up with FINRA, the SEC, or applicable state jurisdictions to prepare and facilitate responses to any additional inquiries.

**Recordkeeping System** – *RRS* will help you set up a recordkeeping system to create and maintain all required records.

**Pre-Membership Interview** – *RRS* can prepare senior management for the required FINRA interview.

## **ABOUT RRS**

*RRS* provides customized and comprehensive compliance and operational consulting and support services to broker-dealers, investment advisers, private funds, and investment companies. Specializing in compliance audits, written supervisory procedures and internal controls, registration services, and ongoing compliance support services, *RRS* provides the experience and insight to meet all your compliance needs. *RRS* staff and partners are former regulators and compliance professionals who have extensive experience with SEC, FINRA, MSRB, NYSE and state rules and regulations.

## **CONTACT US**

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