

TRADE REPORTING COMPLIANCE EXAMINATIONS

Trade Reporting Compliance Examination

SEC and FINRA examinations place increased emphasis on identifying if broker-dealers are reporting transactions in an accurate and timely manner. The regulators may also review the practices of introducing firms that route all orders to their clearing firms. The *RRS* Trade Reporting Compliance Examination covers all aspects of your firm's transaction reporting obligations in the following areas:

- Trade Reporting Facilities for equities (NASD, NASDAQ, NSX, NYSE, etc.)
- Order Audit Trail System for equities
- Trade Reporting and Compliance Engine for corporate debt (TRACE)
- Real Time Transaction Reporting System for municipal securities

Risk Based Trading Compliance Services

In addition to the Trade Reporting Compliance Examination, *RRS* offers a wide range of compliance examinations for equity and debt securities including municipal securities, corporate debt, and OTC derivatives (e.g. CDOs, CMO's ABS, etc.). In keeping with the prevailing regulatory focus, *RRS* customizes these "Risk Based" trading examinations to suit your firm's particular needs. Whether it's testing compliance with the specific requirements of Regulation NMS, FINRA and MSRB rules, or your firm's order handling and best execution practices, *RRS*' risk based examinations will provide your firm with a cost effective solution. Our experience in trading compliance includes supervisory policies and procedures relating to pricing and valuation models, counter party due diligence and risk assessment, and trading practices. We also provide extensive support for developing and implementing written supervisory procedures.

ABOUT RRS

Renaissance Regulatory Services, Inc. provides comprehensive compliance and operational consulting and support services to broker-dealers and investment advisers. Specializing in compliance audits, written supervisory procedures and internal controls, *RRS* provides the experience and insight to meet all your compliance needs. Our services are customized to fit your firm's operations, and in most cases are performed on site. *RRS*' staff and partners are former regulators and compliance professionals who have extensive experience with SEC, FINRA, NYSE and state rules and regulations.

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

Renaissance Regulatory Services, Inc.

350 Camino Gardens Blvd., Suite 105

Boca Raton, FL 33432

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

www.RRSCompliance.com