



Renaissance Regulatory Services

Broker-Dealer Fact Sheet

Compliance Through Reliance

Business Planning & Registration Services

RRS' staff has extensive experience assisting Broker-Dealers in navigating the application and registration process with the SEC, FINRA, MSRB, and State regulatory authorities. Leveraging our regulatory expertise, RRS guides your firm through these complex processes. RRS will consult with your senior management team to gain an understanding of the broker-dealers' anticipated activities in order to develop a business plan, and to identify net capital requirements and regulatory risks. Our Broker-Dealer registration services for new applicants and established firms include:

- **Organization and Start-up Consulting** – RRS will explain the timing, process, and implications of starting your own Broker-Dealer and help determine the most appropriate course of action.
- **Application and Follow-Up with FINRA and State Jurisdictions** – RRS will assist in the preparation and filing of the Form NMA with FINRA, and with all applicable state jurisdictions filings as well as facilitate responses to any additional inquiries.
- **FINRA Business Plan** – RRS can help you prepare your business plan, which details specific information related to your financial wherewithal, ownership and supervisory structure, marketing plan, and internal operations, among other matters.
- **Compliance Program** – RRS will work with your team 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.
- **Expansions** – RRS supports your firm when adding new business lines, expanding operations or undergoing a merger or acquisition.

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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