



Renaissance Regulatory Services

Broker-Dealer
Fact Sheet

*Compliance
Through Reliance*

Trading and Market Maker Surveillance Examinations

RRS' comprehensive compliance examination services help market makers and trading firms guard against potential violations related to all aspects of their equity trading operations. This preventive compliance examination is modeled after the scope and approach of FINRA's examination, which allows our clients to take a proactive role in determining their level of compliance with SEC and FINRA rules and regulations related to trading, market making and order handling practices. This service has proven to be invaluable in providing firms with a proactive approach to determining whether they are in compliance, and to avoid the substantial sanctions and negative publicity that follows an enforcement action.

Full Trading & Market Making Examination - RRS' experts will conduct a thorough review that includes sampling and testing your firm's equity trading desk operations for compliance in the following areas:

- Regulation NMS
- Regulation M
- Regulation SHO
- SEC Rule 15c3-5
- Best execution
- Order handling and execution practices
- Limit order display and protection
- Regular and Rigorous assessment of order routing practices
- Trade reporting and acceptance
- Payment for order flow disclosures
- Disclosure of order execution and routing information
- OATS reporting
- Customer and proprietary trading
- Supervisory system and written supervisory
- Implementation and documentation of supervisory reviews
- Registration of trading personnel

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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Risk Based Trading Compliance Services – In keeping with the prevailing regulatory focus, RRS customizes “Risk Based” trading examinations to suit your firm’s business model and structure. Throughout the entire onsite review, RRS’ risk-based examinations will provide your firm with a cost effective yet comprehensive solution.

In addition to the extensive equity trading compliance solutions, RRS offers trading reviews for debt securities that includes municipal securities and RTRS compliance, corporate debt and TRACE compliance, and OTC debt instruments (e.g. CDO, CMO, ABS, etc.). Our experience in trading compliance includes supervisory procedures relating to pricing and valuation models, counter party due diligence and risk assessment and trading practices.

Regulatory Interpretations – Under a retainer relationship, RRS provides 24-hour response to requests for guidance and interpretations on the myriad of complex rules and regulations that govern trading and market making. **Written Compliance Policies and Supervisory Procedures** – RRS can also review your trading desk and market making written supervisory policies and procedures to determine whether they address all aspects of your firm’s business in order to achieve compliance with relevant FINRA and SEC market-related rules. Where deemed necessary, RRS will make recommendations for revisions, enhancements or creation of new policies and procedures. Our staff has extensive experience working with various equity trading platforms and can customize your policies and procedures to reflect the unique characteristics of your firm’s trading systems. We have worked with firms of all sizes and can develop policies and procedures for the most complex trading operations including firm’s using multiple platforms.

Ongoing Periodic Testing – RRS can also augment your compliance and supervisory operations by providing ongoing periodic testing. Through monthly or quarterly testing services, we can help strengthen your compliance program. These services include supervisory controls testing, best execution and trade reporting reviews and various other trade reporting practices. Periodic testing not only helps to ensure that written supervisory policies and procedures are being implemented, but can also help to identify systemic issues.

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