



Renaissance Regulatory Services

Broker-Dealer
Fact Sheet

Compliance
Through Reliance

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.

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 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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