

## FINANCIAL REPORTING

*RRS* provides a full range of services to assist broker-dealers and their FINOPs with financial statement preparation, net capital computation, regulatory filings, and surveillance. We have the expertise and tools necessary to ensure that your financial statements, net capital, and FOCUS filings are prepared accurately, filed on time, and meet the requirements of SEC Rule 15c3-1. In addition, *RRS* can help develop surveillance methods designed to monitor intra-month capital levels to avoid early warnings and net capital deficiencies. *RRS* also provides bookkeeping services for investment advisers and other small businesses. Our FINOP support services include:

- Net capital computation and FOCUS filing
- SIS, SSOI, Form Custody and Schedule I filings
- Preparation of SIPC Forms upon request
- Full financial statement preparation – trial balance, balance sheet, income statement and general ledger
- Chart of accounts
- Schedule of non-allowable assets
- Schedule of aggregate indebtedness
- Haircuts, undue concentration, and blockage tests
- Riskless principal trade assessment
- Account reconciliations
- Journal entries
- Year-end audit adjustments
- Intra-month capital surveillance and early warning alerts
- SEC Rule 15c3-3 exemption testing for proper handling of customer funds and securities
- Written supervisory policies and procedures
- Audit support
- Research services

*RRS* offers three levels of financial support: the comprehensive Black level, which includes full financial statement preparation and FOCUS filing; the Red level consists of the monthly preparation of net capital computation and monthly FOCUS filing; and the Blue level consists of the quarterly preparation of net capital computation and quarterly FOCUS filing.

## 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.

***Manage Through Change*** – *RRS* is founded on the premise that the financial services industry is constantly changing. New products and services, changing regulations and globalization create unique issues in compliance and operations for firms of all sizes and business models. In order to *Manage Through Change*, firms must have the ability to quickly recognize and respond to the compliance and operational challenges that arise. *RRS* supports firms in this mission by providing comprehensive compliance and operational solutions in a customized format. Let *RRS* help you *Manage Through Change*.

## CONTACT US

*Renaissance Regulatory Services, Inc.*

(561) 368-2245

Info@RRSCompliance.com

1515 S. Federal Highway, Suite 306

Boca Raton, Florida 33432

<b>Financial Reporting<sup>1</sup></b>	<b>Black Book</b>	<b>Red Book</b>	<b>Blue Book</b>
<b>Monthly Pricing<sup>2</sup></b>	\$700+	\$400+	\$225+
<b>Full financial statement preparation</b> – trial balance, balance sheet, income statement, general ledger and chart of accounts	Monthly	N/A	N/A
<b>Net Capital computation</b> – schedule of non-allowable assets, schedule of aggregate indebtedness, haircuts and undue concentration	Monthly	Monthly	Quarterly
<b>Account reconciliations</b>	Monthly	N/A	N/A
<b>Journal entries</b>	Monthly	N/A	N/A
<b>FOCUS report preparation and filing</b>	As required	As required	Quarterly
<b>Year-end audit adjustments</b>	Included	Included	Included
<b>Financial Reporting consulting</b> – audit support, research services, written supervisory policies and procedures	Billed per rate schedule	Billed per rate schedule	Billed per rate schedule
<b>SEC Rule 15c3-3 exemption testing for proper handling of customer funds and securities</b>	Additional Fee	Additional Fee	Additional Fee
<b>NFA FOCUS report preparation and filing</b>	Additional Fee	Additional Fee	Additional Fee
<b>Preferred project work pricing</b>	Included	Included	Included
<b>Regulatory compliance update</b>	Included	Included	Included

<sup>1</sup> New books subject to \$500 Setup fee.

<sup>2</sup> Monthly price subject to complexity of operations.