

BOOKEEPING AND REPORTING

RRS provides a full range of services to assist Investment Advisers with financial statement preparation, bookkeeping, and surveillance. We have the expertise and tools necessary to ensure that your financial statements are prepared accurately, completed in a timely manner, and meet proper regulatory and industry standards. In addition, *RRS* can help develop surveillance methods designed to monitor intra-month Net Worth /Net Capital levels to avoid deficiencies. Our Investment Advisor support services include:

- Full financial statement preparation - trial balance, balance sheet, income statement and general ledger
- Customized reports based upon Adviser's unique business model.
- Chart of accounts
- Account reconciliations
- Journal entries
- Written compliance procedures
- Research services
- Preparation of regulatory filings
- Regulatory examination support (additional Fees apply)

RRS offers custom tailored financial support services. We will work with your CCO/CFO to compile reports that are both accurate and relevant to your individual needs. Our experienced accountants and compliance specialists will work closely with you to ensure that you can spend more time focusing on your firm's core competencies and less time worrying about back office functions and current and impending regulatory legislation.

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

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IA BOOKKEEPING AND REPORTING	Green Book
Monthly Pricing*	\$325+
Full financial statement preparation – trial balance, balance sheet, income statement, general ledger and chart of accounts	Monthly
Net Capital/Net Worth computations – If required by examining authority	Monthly
Account reconciliations	Monthly
Journal entries	Monthly
Year-end audit adjustments	Included
Financial Reporting consulting – audit support, research services, written supervisory policies and procedures	Billed per rate schedule
Preferred project work pricing	Included
Regulatory compliance update	Included
Compliance Administrator Call	Included