

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
- 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 monthly preparation of net capital computation and quarterly FOCUS filing.

ABOUT RRS

Renaissance Regulatory Services, Inc. provides comprehensive compliance and operational consulting and support services designed to complement the compliance programs of 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.

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

*Monthly price subject to complexity of operations.

New books subject to \$500 Setup fee.

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