Renaissance Regulatory Services

Investment Adviser
Fact Sheet

Advertising Review Services

The SEC advertising rule (Rule 206(4)-1) and related no-action letters can be vague and complicated and they are almost always an area of review for regulators. *RRS*' experienced staff can review or prepare your advertising policies and procedures or assist with the review of current or pending advertising materials for compliance with SEC rules and no-action guidance.

General Reviews - *H* Take advantage of RRS' regulatory experience to ensure that your marketing materials comply with SEC rules and no-action guidance.

Performance Advertising - Performance advertising deficiencies are one of the SEC's most frequent findings. RRS can review your marketing materials, method of calculating performance, and policies and procedures to ensure that you are meeting SEC requirements related to performance advertising.

Policies and Procedures - *RRS* can prepare or review your firm's policies and procedures for compliance with the SEC's advertising rules and industry best practices, ensuring that you are not caught off guard during your next regulatory examination.

Training - RRS offers training to help your staff understand the firm's regulatory requirements and what to look for before distribution of advertising materials.

Compliance
Through Reliance

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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