



Renaissance Regulatory Services

Investment Adviser Fact Sheet

Compliance Through Reliance

Compliance Administrator Program

RRS has designed its RIA Compliance Administrator Program to help strengthen your firm's compliance program without adding additional staff. RRS offers a complete suite of compliance support services based on your compliance needs, business model and product mix. This service is designed to be proactive and help you ensure your Compliance Program has no gaps and then to help you implement your Compliance Program while staying abreast of regulatory trends and rule changes. RRS' staff consists of former regulators and compliance professionals who have extensive experience with SEC, FINRA, MSRB, NYSE and state rules and regulations. Services include:

- Notification of regulatory updates and alerts through Monthly "Regulatory Compliance Update" and Compliance Conference call
- Telephone response to questions related to general compliance consulting and implementation of policies and procedures
- Regulatory examination and inquiry support
- FINRA, MSRB, and state filings and renewals
- Form ADV, Form CRS, Form PF, and Form U-4 filings and amendments
- Review of advertisements:
- Review of electronic correspondence (sampling)
- Review of Personal Securities Transactions
- Written policies and procedures updates for changes to applicable SEC rules
- Firm and representative registration renewals - RRS will process annual renewals with the applicable state regulatory agencies; and
- Annual Reviews - RRS can wrap the annual SEC Rule 206(4)-7 review and associated risk assessment into this program

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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**Compliance
Through Reliance**

SERVICE	SUPPORT ONLY	SUPPORT WITH ONSITE
Base Monthly Pricing	\$500	\$1,000
Monthly RCU	Included	Included
Monthly Conference Call With Compliance Administrator	Included / Listen Only	Included / Listen Only
Monthly Compliance Call with Regulatory Consultant	Quarterly	Monthly
WSP Updates*	Template	Customized
Discount Preferred Rates	Blended	Blended
On site examinations	Priced separately	Included - Must Pre-schedule
Access to Regulatory Consultants	Billed per rate schedule and must be preschedule through the CA	Dedicated Regulatory Consultant
Regulatory Examination and Support	72 Hour Notice - Billed per rate schedule	24 Hour Notice - Blended Rate
Regulatory Response*	72 Hours	24 Hours

**Required time for notice to ensure consultant availability. Additional notice required for onsite support.*

**RRS' response time to regulatory questions.*