



Renaissance Regulatory Services

Investment Adviser
Fact Sheet

Compliance
Through Reliance

Compliance Examinations & Testing

Rule 206(4)-77 under the Investment Adviser act 1940 ("Advisers Act") requires investment advisers to do three things: 1) implement written policies and procedures designed to prevent, detect and correct violations of the Advisers Act by the adviser and its supervised persons; 2) designate a chief compliance officer responsible for administering the policies and procedures; 3) review these policies and procedures at least annually for their adequacy and the effectiveness of their implementation. Rule 38a-1 under the investment Company Act imposes parallel requirements on funds. *RRS* offers customized solutions to help your firm meet these requirements. Whether you want a high-level review to supplement your own internal reviews or an independent detailed transaction level review, *RRS* can help.

- Compliance Program Risk Assessments
- Comprehensive Compliance Examinations
- Internal Controls, Policy and Procedure Examinations
- Regulatory Examination Support
- Specialized Compliance

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

Renaissance Regulatory Services, Inc.
(561) 368-2245
Info@RRSCompliance.com
625 Southeast 10th Street,
Building Three
Deerfield Beach, Florida 33441

Compliance Program, Policy & Procedure Development

RRS provides the experience necessary to ensure that your firm's compliance program is adequately designed to meet and exceed regulatory requirements. *RRS'* consultants will assess your firm's prospective or current business operations and develop written supervisory policies and procedures that are tailored to your business model.

- Written Supervisory Procedures
- Compliance Manuals
- Policy and Procedures Updates

Business Planning & Registration Services

RRS' staff has over 15 years of experience dealing with state and federal registration, licensing, and filing issues, which have resulted in the registration of over 1,000 state and federally licensed investment advisers and thousands of registered investment advisory representatives.

Whatever your registration or licensing needs, *RRS* has the experience to guide your firm through any registration or licensing process.

- Initial SEC or State Applications
- Renewal & Amendments
- State Applications
- IARD Training

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Compliance Support Services

RRS provides customized ongoing compliance support services that include prompt response to your compliance issues through onsite meetings, telephone and e-mail. Whether you need answers to general questions, registration or filing assistance, help amending policies and procedures, or assistance with internal inspections, RRS can customize a solution to provide you with the ultimate flexibility, including:

- Periodic Reviews
- Regulatory Updates
- Form ADV Review
- General Compliance Questions
- Regulatory Examination Support
- Written Policies & Procedures

Bookkeeping Services

RRS' provides a full range of services to assist investment advisers and other small business owners with financial statement preparation services.

- Full Financial Statement Preparation
- Account Reconciliations
- Year End Audit Adjustments
- Chart of Accounts
- Journal Entries
- Research Services

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