

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 – 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.

ABOUT RRS

Renaissance Regulatory Services, Inc. provides comprehensive compliance and operational consulting and support services to broker-dealers and investment advisers. Specializing in compliance examinations, 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, MSRB, NYSE and state rules and regulations.

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