

COMPLIANCE ADMINISTRATOR PROGRAM

Renaissance Regulatory Services, Inc. has designed its Compliance Administrator Program to help strengthen your firm's compliance program without adding additional staff. RRS offers a complete suite of compliance support services in three Tiers, based on your compliance needs, business model and product mix. The higher the Tier, the greater the level of customization and access to consulting expertise that is delivered. RRS' staff consists of former regulators and compliance professionals who have extensive experience with SEC, FINRA, MSRB, NYSE and state rules and regulations

Monthly Support Services

- Notification of regulatory updates and alerts through RRS' "Regulatory Compliance Update" and a monthly Compliance Conference call
- Telephone response to general compliance questions related to applicable industry rules and regulations
- Regulatory examination and inquiry support via telephone or onsite
- Form ADV Part 1, Part 2 and Form U-4 filings and amendments
- Review of advertisements
- Written policies and procedures updates for changes to applicable regulatory rules
- Advice and assistance with implementation of new procedures and systems automation

Quarterly Support Services

- A copy of RRS' quarterly News Letter
- Personal Securities Transaction (PST) Reviews – RRS will review the PSTs placed by your access persons for compliance with your Code of Ethics
- RRS can provide an onsite consultant to review selected aspects of your compliance program for adequate implementation

Annual Support Services

- State and representative registration renewals - RRS will process annual renewals with the applicable state regulatory agencies
- Annual Form ADV Update – RRS will review and update your Form ADV (Part 1 & Part 2)
- Annual Reviews - RRS can perform the annual SEC Rule 206(4)-7 review and associated risk assessment

CONTACT US

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Service	Tier I	Tier II	Tier III
Base Monthly Pricing/Hours Included	\$450 / 2	\$1,000 / 4	\$3,300 / 12
Monthly RCU	Included	Included	Included
Monthly Conference Call with Compliance Administrator	Included/Listen Only	Included/Listen Only	NA
Monthly Compliance Call with Regulatory Consultant	NA	Optional – Must Pre-schedule	Included
WSP Updates ¹	Template	Limited Customization	Fully Customized
Hours Included In Contract Can Accrue	NA	Quarterly	Annually
Discount Preferred Rates	Billed per schedule by service	Blended	Blended
Off site testing	NA	Included	Included
On site examinations – Must Pre-schedule ²	Priced Separately	Optional at blended rates	Included – Must Pre-schedule
Access to Regulatory Consultants	Billed per rate schedule and must be pre-scheduled through the CA.	Included in blended rate, must pre-schedule	Dedicated Regulatory Consultant
Regulatory Examination and Support ³	72 Hour Notice – Billed per rate schedule	48 hour Notice – Blended Rate	24 hour Notice – Blended Rate
Registration Services	Billed per rate schedule	3 hours annually	5 hours annually
Administrative Staff Services ⁴	Billed per rate schedule	10 hours annually	25 hours annually
Regulatory Response ⁵	72 Hours	48 Hours	24 Hours

¹ Procedure reviews billed hourly at established rates.

² Requires separate proposal for unscheduled and special projects not specifically stated in program proposal.

³ Required time for advance notice to ensure consultant availability. Additional advance notice required for onsite support.

⁴ Includes copying, printing, web search, etc.

⁵ RRS' response time to regulatory questions.

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