

## **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 service levels or 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 team members have extensive experience with regulatory organizations and/or industry expertise, and are well qualified to support your compliance program.

Depending on the Tier that suits your firm best, RRS will provide ongoing compliance support services through its Compliance Administrator program delivered through monthly compliance meetings, policy and procedure updates and quarterly or annual compliance reviews.

### ***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 – RRS will provide telephone or onsite support to CCO's during regulatory examinations
- Form ADV Part 1, Part II 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 II)
- Annual Reviews - RRS can perform the annual SEC Rule 206(4)-7 review and associated risk assessment

## **ABOUT RRS**

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

## **CONTACT US**

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