

COMPLIANCE EXAMINATION & TESTING

Rule 206(4)-7 under the Investment Advisers Act of 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; and 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 Reviews

COMPLIANCE PROGRAM, POLICY & PROCEDURE DEVELOPEMENT

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
- Policy and Procedure Updates
- Compliance Manuals

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
- Renewals & Amendments
- State Applications
- IARD Training

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
- Chart of Accounts

- Account Reconciliations
- Year End Audit Adjustments
- Journal Entries
- Research Services

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

ABOUT RRS

Renaissance Regulatory Services, Inc. provides comprehensive compliance and operational consulting and outsourcing 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 consist of former regulators and compliance professionals who have extensive experience with SEC, FINRA, NYSE and state rules and regulations.

CONTACT US

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