

INVESTMENT ADVISER INITIAL 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. RRS' full service investment adviser registration services include organization and start-up counseling, assistance with registration filings through the Investment Advisory Registration Depository ("IARD") system, professional preparation of your Disclosure Brochure (Form ADV Part II), creation of a compliance program, and filing and follow-up with the SEC or your "home" state.

IARD Filings – RRS will prepare and file your Form ADV Part 1 and any individual registrations (Form U-4s), as well as applicable state registrations and notice filings through the IARD system.

Form ADV Part II – RRS will work with you to create your Form ADV Part II/Disclosure Brochure. This is a key document that describes your business and identifies all conflicts of interest.

Follow-Up with SEC or State Jurisdictions - RRS will follow-up with the SEC or applicable state jurisdictions to prepare and facilitate responses to any additional inquiries.

Advisory Agreements – RRS will review your advisory arrangements to ensure compliance with SEC Rules, although Contractual arrangements should be reviewed by a qualified attorney.

Marketing Materials – RRS can review your initial advertising and sales literature pieces for compliance with applicable Rules.

Compliance Program - RRS will work with you to assess your firm's regulatory risks and create a compliance program and code of ethics, including written policies and procedures.

Recordkeeping System – RRS will help you set up a recordkeeping system to create and maintain all required records.

ABOUT RRS

RRS 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. RRS' staff and partners are former regulators and compliance professionals who have extensive experience with SEC, FINRA, MSRB, NYSE and state rules and regulations.

CONTACT US

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