



Renaissance Regulatory Services

Fact Sheet

Compliance Through Reliance

Form CRS

Renaissance Regulatory Services, Inc. (“RRS”) provides the support your firm needs to develop and deliver your Form Customer Relationship summary in compliance with SEC rules. Whether your firm is a Broker-Dealer or Investment Adviser, RRS can help you identify and describe all relationships and services that your firm offers to retail investors. RRS will also perform testing on your Form CRS delivery processes to ensure that prospective customers receive Form CRS as required. RRS' extensive experience developing Form CRS disclosures for a wide range of broker-dealers will help your Firm reduce retail investor confusion in the marketplace for your brokerage or investment advisory services. Our Form CRS related services include:

- Development of the Form CRS
- Assessment of products and services
- Analysis of compensation arrangements
- Identification of conflicts of interest
- Content and adequacy of disclosures
- Initial and ongoing delivery
- Updates to products and services
- Alignment of Form CRS disclosures to marketing materials and customer agreements
- Public website placement of Form CRS and links to supplemental disclosure documents
- Compliance surveillance and testing
- Training for retail and other customer facing staff
- Regulatory response

About Us

Renaissance Regulatory Services, Inc. was built on the premise that the financial services industry is constantly changing, so our clients need the most contemporary tools and insights in order to adapt to the unique compliance and operational challenges that arise in this ever-evolving environment.

Our purpose today is the same as it was on the day we were founded in February 2006: to empower our clients to Manage Through Change, with comprehensive and proactive solutions and audits designed by Real, Reliable consultants, and tailored to our clients' Strategic needs.

Contact Us

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