



Renaissance Regulatory Services

Investment Adviser Fact Sheet

Business Planning & Registration Services

RRS' staff has decades of experience assisting Investment Advisers with state and federal registrations and filing related issues, which have resulted in the registration of over 1,000 state and federal investment advisers and thousands of Investment Advisor representatives. Whatever your registration needs, RRS has the experience to guide your firm through any registration process. Our initial Investment Adviser registration services include:

- **IARD Filings** – RRS will prepare and file your Form ADV Part 1 and any individual registrations (Form U4s) as well as applicable state registrations and notice filings.
- **Form CRS & Form ADV Part 2** – RRS will work with you to create your Form CRS and Form ADV Part 2 (Disclosure Brochure).
- **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 agreements to ensure compliance with applicable regulations; however, note that we do not provide legal advice.
- **Marketing Materials** – RRS can review your advertising and sales literature for compliance with applicable regulations.
- **Disaster Recovery and Cybersecurity Plan, and Privacy Notice** – RRS can prepare sample Business Continuity and Cybersecurity Plan templates, and a "Safe Harbor" Privacy Policy.
- **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.
- **Disciplinary disclosures** – We provide support to address regulatory disclosures.

Renaissance Regulatory Services, Inc.
www.RRSCompliance.com

Compliance Through Reliance

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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