



Renaissance Regulatory Services

## Fact Sheet

# Services Overview

Whether you manage an established investment adviser, broker-dealer or are considering a startup, RRS offers a wide range of regulatory compliance services designed to meet virtually every compliance need. From initial startup through ongoing operations to expansion and mergers, RRS can provide the insight and expertise to help your firm keep up with rapid changes in your business, regulations, and the industry. Our wide range of customized services include:

**Business Planning & Registration Services** – If you are considering starting your own broker-dealer or registered investment adviser, or expanding your current business, RRS' professionals provide practical guidance to help you meet your objectives and the requirements of regulators.

**Compliance Program, Policy & Procedure Development** – Broker-dealers and investment advisers can leverage on our extensive industry experience in drafting and implementing customized written supervisory and compliance procedures, supervisory controls, and compliance programs.

**Compliance Examination & Testing** – RRS suite of examination services for broker-dealers and investment advisers are built on our staff's years of experience conducting regulatory examinations. We perform regulatory compliance examinations, supervisory controls testing, AML program testing, and investment adviser compliance program testing. RRS provides multiple levels of service designed to meet or exceed regulatory requirements for periodic, annual, and mandated reviews as well as litigation support.

**Financial Reporting & Bookkeeping** – RRS provides a full range of bookkeeping services for investment advisers and broker dealers including net capital computations and FOCUS filing services.

**Compliance Support Services** – Strengthen your compliance program without adding additional staff by utilizing RRS' customized Compliance Administrator services. These services combine one or more of our suite of services to support your compliance program in a cost effective manner. Our team of experts also provide regulatory response and litigation support.

## *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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