

COMPLIANCE POLICY AND PROCEDURE MANAGEMENT

It is critically important for broker-dealers and investment advisers to keep current on regulatory developments that affect their businesses. *RRS* can manage your firm's written compliance policies, procedures and controls with our document management system. Whether you are developing and drafting new compliance policies and procedures or revising existing manuals, *RRS'* staff has the expertise and tools to help you develop policy manuals that are customized for your firm's unique operations. Our service includes a comprehensive Gap analysis of your firm's operations to develop a uniquely tailored system of policies, procedures and controls. *RRS* consultants will work closely with your management team so that the final product meets regulators' requirements and expectations, and all of your firm's needs. Our policy manager service provides:

- Fully customizable content based on our database of over 1,000 unique policy and procedure topics
- Integrated compliance policies, written supervisory procedures ("WSP"), and supervisory controls procedures ("SCP")
- Comprehensive compliance, WSP, and SCP manuals, or customized subsets by supervisor, location, business line, and product
- System generated tables for delegation of supervision responsibilities (Representatives, branch offices, business lines)
- Customized supervisory procedure checklists and supervisory control testing plans
- Compliance examination checklists
- Schedule of designated responsibilities by supervisor and topic
- Upload representative, principal and branch office information from CRD
- Output formatting available in PDF, HTML and MS Word
- Hyperlinks to industry rules, regulations and regulatory websites
- Hyperlinked table of contents and topical index
- Version tracking
- Automated updates
- Customized branch Inspection plans

ABOUT RRS

Renaissance Regulatory Services, Inc. provides comprehensive compliance and operational consulting and support services to broker-dealers and investment advisers. 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 are former regulators and compliance professionals who have extensive experience with SEC, FINRA, NYSE and state rules and regulations.

Manage Through Change – *RRS* is founded on the premise that the financial services industry is constantly changing. New products and services, changing regulations and globalization create unique issues in compliance and operations for firms of all sizes and business models. In order to *Manage Through Change*, firms must have the ability to quickly recognize and respond to the compliance and operational challenges that arise. *RRS* supports firms in this mission by providing comprehensive compliance and operational solutions in a customized format. Let *RRS* help you *Manage Through Change*.

Renaissance Regulatory Services, Inc.

(561) 368-2245

Info@RRSCompliance.com

1515 S. Federal Highway, Suite 306

Boca Raton, Florida 33432