

*Renaissance Regulatory Services, Inc. (RRS)* 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 consist of 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*.

### ***BROKER-DEALER & INVESTMENT ADVISER COMPLIANCE SERVICES***

Whether you manage an established firm or are considering a startup, *RRS* offers a wide range of services designed to meet virtually every compliance and operations 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. *RRS* provides compliance examinations, compliance program development, business planning & registration services, financial reporting & bookkeeping, compliance administration, and a broad range of related services.

**Compliance Examination & Testing** - *RRS* suite of examination services for broker-dealers and investment advisers, built on our staff's years of experience with regulatory organizations in conducting examinations, include regulatory compliance examinations, supervisory controls testing, AML program testing and investment adviser compliance program testing. *RRS* tailors its audit programs to meet the regulatory requirements of the SEC, FINRA and NYSE. In fact, our testing practices involve statistical and risk based sampling methodologies similar to those used by the regulators. *RRS* provides multiple levels of service designed to meet or exceed regulatory requirements for periodic, annual and mandated reviews.

**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.

**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.

**Financial Reporting & Bookkeeping** - *RRS* provides a full range of bookkeeping and FOCUS filing services for broker-dealers. Bookkeeping services are also available to investment advisers and other small businesses.

**Compliance Support Services** - Strengthen your compliance program without adding additional staff by utilizing *RRS'* customized compliance support services. These services combine one or more of our suite of services to support your compliance program in a cost effective manner.

## **WRITTEN POLICIES AND PROCEDURES**

Rapid changes in regulations, products and services necessitate frequent updates to written policies, procedures and compliance manuals. *RRS* provides the support your firm needs with:

**Written Supervisory Procedures** - *RRS* provides customized written supervisory policies and procedures manuals. From developing an internal control structure to establishing testing methods and cycles, *RRS* can provide the guidance necessary to ensure that your procedures meet today's stringent regulatory requirements.

**Compliance Manuals** - *RRS* also provides customized compliance manuals that will help to ensure your firm adequately communicates internal policies to registered representatives and employees.

**Policy and Procedure Update Services** – *RRS* can review and update your policies and procedures on an on going basis to help you keep up with regulatory and business changes.

## **COMPLIANCE SUPPORT**

*RRS'* retainer services provide prompt response to your compliance issues through onsite meetings, telephone and e-mail. *RRS* Compliance Support services include financial reporting, registration and licensing, and guidance on a wide range of regulatory compliance matters. Whether you need answers to general questions, help drafting policies and procedures or assistance with internal inspections and branch office reviews, *RRS* can customize a solution to provide you with the ultimate flexibility.

## **ANNUAL COMPLIANCE MEETINGS**

*RRS* delivers the "regulator's view" to your registered representatives and support staff during annual compliance meetings. These training programs address the latest topics from a regulatory perspective while incorporating those internal issues that are of the highest importance to your firm.

## **STARTUP, EXPANSION AND M&A**

*RRS* provides a wide range of services including business planning, registration consulting and due diligence investigations. Whether you are a startup, or an established firm seeking to add new products and services, increase staffing, expand your geographic footprint or undergo a merger, *RRS* provides assistance with the regulatory issues that arise. This includes assistance developing a cost-benefit analysis, drafting the necessary FINRA/NYSE business plans and navigating the registration requirements.

## **CONTACT US**

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