

DUE DILIGENCE

RRS provides a comprehensive suite of services designed to help broker-dealers, investment advisers and other financial institutions establish comprehensive due diligence procedures that are customized for their specific needs. Our professionals have extensive regulatory and industry experience examining and investigating financial services firms and issuers. Our comprehensive examination program includes a GAP analysis of your firm's due diligence process, management oversight, investment committees and verification practices. *RRS* can also support your firm's due diligence process including areas such as acquisitions, funds placement, and custody arrangements.

Our services include comprehensive testing and verification of:

- Written Policies and Procedures
- Third Party Custodial Arrangements
- Asset Verification
- Third Party Administrator Arrangements
- Off Shore Custody and Administration
- Officer/Director Background Checks
- Historic Return Analysis
- Auditor Independence
- Investment Committee Oversight
- Affiliate Contracts and Arrangements
- Due Diligence Reviews

ABOUT RRS

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/NASD, 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*.

CONTACT US

John E. Pinto
(202) 463-6575
JohnPinto@RRSCompliance.com
888 17th Street NW, Suite 608
Washington, DC 20006

Louis Dempsey
(561) 368-2245
LouisDempsey@RRSCompliance.com
350 Camino Gardens Blvd., Suite 105
Boca Raton, Florida 33432