

SECURITIES ATTORNEY'S SUPPORT

Renaissance Regulatory Services, Inc. (RRS) provides a comprehensive suite of services designed to assist securities lawyers with the regulatory, enforcement and litigation matters involving their broker-dealer and investment adviser clients. Our Consultants have extensive industry expertise and experience as senior level officials with regulatory organizations. We have significant experience in creating expert reports, providing testimony in arbitration and civil proceedings, and have been accepted as Independent Consultants resulting from regulatory mandates in enforcement sanctions. We have also been engaged by the SEC to provide consulting and expert witness services in enforcement matters.

Our services include:

- Serving as Independent Consultant in FINRA /NASD, SEC and State enforcement matters
- Providing consulting advice and serve as expert witness in arbitration and civil litigation proceedings
- Assist in responding to regulators' demands and inquiries
- Providing on-site assistance and guidance to broker-dealers during examinations by regulators
- Conduct preventive on-site examinations to preempt potential regulatory disciplinary actions
- Officer/Director Background Checks
- Due Diligence Reviews
- Regulatory Oversight
- Risk Management Assessment

ABOUT RRS

RRS provides comprehensive compliance and operational consulting and outsourcing 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*.

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