



Renaissance Regulatory Services

Fact Sheet

*Compliance  
Through Reliance*

## Litigation Expert Witness

Renaissance Regulatory Services, Inc. (RRS) provides a comprehensive suite of litigation support and expert witness 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 serving with regulatory organizations. Our experience includes complete analysis expert reports, testimony in arbitration and civil proceedings, and serving as Independent Consultants on matters arising from sanctions imposed in enforcement actions. Our services include:

- Independent Consultant in SEC, FINRA, and State enforcement matters
- Litigation support, consulting advice and expert witness
- Assist in responding to regulatory inquiries and investigations and on-site assistance and guidance to Broker-Dealers and Investment Advisers
- Conduct preventative on-site examinations to preempt potential regulatory disciplinary actions
- Due diligence reviews
- Pre-emptive undertakings in connection with ongoing enforcement matters

## 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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