



Renaissance Regulatory Services

Fact Sheet

*Compliance
Through Reliance*

Regulation Best Interest

Renaissance Regulatory Services, Inc. (“RRS”) provides the support your firm needs for compliance with the SEC’s Regulation Best Interest, which applies to Broker-Dealers and their associated persons who provide recommendations to retail customers. Our regulatory experts and compliance consultants have worked extensively to develop Reg BI disclosure documents, compliance policies, and supervisory procedures for a wide range of Broker-Dealers’ business models. Your firm can leverage our experience to develop and implement:

- Controls that enable representatives to act in the best interest of the retail customer at the time of the recommendation
- Practices to ensure that the financial or other interests of the firm are not placed ahead of the customer’s interests
- Procedures to identify and address conflicts of interest
- Disclosure documents that address material facts about conflicts of interest
- Guidance on methods to mitigate or eliminate conflicts.
- Assessments to understand the implications that Regulation Best Interest has on your specific business model (for Broker-Dealers and Dual Registrants)
- Amendments to your Firm’s existing written compliance, and supervisory control procedures to address Regulation Best Interest (for Broker-Dealers and Dual Registrants)
- Testing your firm’s Regulation BI compliance program
- Training for sales representatives and other public facing employees

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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