



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 Regulation 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 BI 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 BI (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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Form CRS

Renaissance Regulatory Services, Inc. (“RRS”) provides the support your firm needs to develop and deliver your form Customer Relationship summary in compliance with SEC rules. Whether your firm is a Broker-Dealer or an Investment Adviser, RRS can help you identify and describe all relationships and services that your firm offers to retail investors. RRS will also perform testing on your Form CRS delivery processes to ensure that prospective customers receive the Form CRS as required. RRS' extensive experience developing Form CRS disclosures for a wide range of Broker-Dealers will help your Firm reduce retail investor confusion in the marketplace for your brokerage or investment advisory services. Our Form CRS related services include:

- Development of the Form CRS
- Assessment of products and services
- Analysis of compensation arrangements
- Identification of conflicts of interest
- Content and adequacy of disclosures
- Initial and ongoing delivery
- Updates to products and services
- Alignment of Form CRS disclosures to marketing materials and customer agreements
- Public website placement of Form CRS and links to supplemental disclosure documents
- Compliance surveillance and testing
- Training for retail and other customer facing staff
- Regulatory response

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