

LITIGATION & EXPERT WITNESS SERVICES

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 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 by regulatory organizations as Independent Consultants resulting from sanctions imposed in enforcement actions. Our services include:

- Serving as Independent Consultant in SEC, FINRA/NASD, and State enforcement matters
- Providing litigation support, consulting advice and serve as expert witness in arbitration and civil litigation proceedings
- Assist in responding to regulators' inquiries and investigations
- Providing on-site assistance and guidance to broker-dealers and investment advisers during examinations by regulators
- Conduct preventative on-site examinations to preempt potential regulatory disciplinary actions
- Due diligence reviews
- Regulatory oversight
- Risk management assessment
- Damages calculations

SAMPLE ENGAGEMENTS

Below is a sampling of cases *RRS* has provided litigation support consulting services for:

- Engaged as expert witness in a FINRA Arbitration on behalf of the broker-dealer for claims of defamation with regard to comments made on the Form U5 filed pursuant to FINRA rules. This engagement required in depth familiarity with FINRA/NASD rules, policies and practices relative to a member's reporting obligations when completing and filing Form U5.
- Engaged as expert witness in a FINRA Arbitration involving selling away by a registered representative, and the issue of alleged failure to supervise on the part of the employing broker-dealer. This engagement required extensive knowledge of FINRA Rules 3280 and 3110, among others.
- Independent Consultant for a broker-dealer resulting from an enforcement action by a State Securities Administrator for various violations, including the use of letters of authorization. Engagement required expertise of operations, supervisory, and compliance policies to conduct the required reviews and prepare the reports as mandated in the enforcement order.
- Independent Consultant for broker-dealers resulting from AWCs by FINRA related to their failure to identify Net Asset Value ("NAV") transfer programs. *RRS* was retained to review and assess the appropriateness of the firms' methodology to identify and compensate affected investors, as well as their written restitution plans to compensate qualified investors. Engagement required extensive expertise in mutual funds as well as overall regulatory and compliance standards.

- Independent Consultant for a broker-dealer resulting from a Stipulation and Consent Order entered into with a State Securities Administrator encompassing the firm's business and compliance procedures relating to the sales, suitability, supervision, and books and records for fixed income sales. The wide breadth of this engagement required experience and knowledge of fixed income products, requirements of regulatory and industry suitability standards, and FINRA advertising rule requirements.
- Independent Consultant for a broker-dealer resulting from an SEC Administrative Proceeding related to the alleged failure to adequately establish and implement policies and procedures reasonably designed to prevent the misuse of material, non-public information. This engagement required knowledge and expertise with regard the use of material, non-public information, Chinese Wall practices, general supervision, industry training standards, and email communication firewall procedures.

ABOUT RRS

Renaissance Regulatory Services, Inc. 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 are 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*.

CONTACT US

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