



Broker-Dealer Fact Sheet

Compliance Through Reliance

About Us

Renaissance Regulatory Services, Inc. (RRS) 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 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 challenge 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*.

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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Compliance Audits and Examinations

Broker-dealers and investment advisers are increasingly under pressure to conduct comprehensive reviews and assessments of their operations, including policies, procedures and internal controls. *RRS* tailors its audit programs to help you meet the regulatory requirements of the SEC, FINRA and NYSE. In fact, our testing practices involve statistical and risk based sampling methodologies similar to those used by the regulators. *RRS* provides multiple levels of service designed to meet or exceed regulatory requirements for periodic, annual and mandated reviews.

Written Supervisory Procedures Assessments - *RRS* will assess your firm's overall compliance program, including internal controls and written policies and procedures, to determine if they comply with industry rules and regulations. *RRS* also provides guidance on industry "best practices."

Internal Controls, Policy and Procedure Examinations - In addition to assessing the adequacy of your firm's compliance program, this service involves high level testing to determine if the implementation of your firm's program is in accordance with established written supervisory procedures.

Comprehensive Compliance Examinations - The most comprehensive service combines the Assessment and Examination with transaction level forensic testing to identify potential violations or deficiencies.

AML Program Testing - *RRS'* staff is uniquely qualified with extensive experience conducting annual AML Program testing that is required by FINRA Rule 3310.

Audit Support - *RRS* helps firms manage regulatory examinations to ensure efficient production of documents and reduce the regulatory burden. In fact, in certain situations, a consultant can be available onsite to help you respond to document requests from regulators.

Written Policies and Procedures

Rapid changes in regulations, products and services necessitate frequent updates to written policies, procedures and compliance manuals. *RRS* provides the support your firm needs with:

Written Supervisory Procedures - *RRS* provides customized written supervisory policies and procedures manuals. From developing an internal control structure to establish testing methods and cycles, *RRS* can provide the guidance necessary to ensure that your procedures meet today's stringent regulatory requirements.

Compliance Manuals - *RRS* also provides customized compliance manuals that will help to ensure your firm adequately communicates internal policies to registered representatives and employees.

Policy and Procedure Update Services - *RRS* can review and update your policies and procedures on an ongoing basis to help you keep up with regulatory and business changes.

Compliance Support

RRS' retainer services provide prompt response to your compliance issues through onsite meetings, telephone and e-mail. *RRS* Compliance Support services include financial reporting, registration and licensing, and guidance on a wide range of regulatory compliance matters. Whether you need answers to general questions, help drafting policies and procedures or assistance with internal inspections and branch office reviews, *RRS* can customize a solution to provide you with the ultimate flexibility.

Annual Compliance Meetings

RRS delivers the "regulator's view" to your registered representatives and support staff during annual compliance meetings. These training programs address the latest topics from a regulatory perspective while incorporating those internal issues that are of the highest importance to your firm.

Startup, Expansion and M&A

RRS provides a wide range of services including business planning, registration consulting and due diligence investigations. Whether you are a startup, or an established firm seeking to add new products and services, increase staffing, expand your geographic footprint or undergo a merger, *RRS* provides assistance with the regulatory issues that arise. This includes assistance developing a cost-benefit analysis, drafting the necessary FINRA/NYSE business plans and navigating the registration requirements.