



Renaissance Regulatory Services

Fact Sheet

Bookkeeping & Reporting

RRS provides a full range of services to assist Broker-Dealers, Investment Advisers and other small businesses with financial statement preparation. Services for broker-dealers Include: net capital computation, regulatory filings, and surveillance. We have the expertise and tools necessary to ensure that your financial statements, net capital, and FOCUS filings are prepared accurately, filed on time, and meet the regulatory requirements. In addition, RRS can help develop surveillance methods designed to monitor intra-month capital levels to avoid early warnings and net capital deficiencies.

- Full financial statement preparation – trial balance, balance sheet, income statement and general ledger
- Chart of accounts
- Journal entries
- Year-end audit adjustments
- Audit support
- Net capital computation and FOCUS filing
- Schedule of non-allowable assets
- Schedule of aggregate indebtedness
- Haircuts, undue concentration, and blockage tests
- Riskless principal trade assessment
- SIS, SSOI and Form Custody filings
- Account reconciliations
- Intra-month capital surveillance and early warning alerts
- SEC Rule 15c3-3 exemption testing for proper handling of customer funds and securities
- Written supervisory policies and procedures
- Research services

Our FINOP support services include:

RRS offers three levels of financial support: the comprehensive Black level, which includes full financial statement preparation and FOCUS filing; the Red level consists of the monthly preparation of net capital computation and monthly FOCUS filing; and the Blue level consists of the monthly preparation of net capital computation and quarterly FOCUS filing.

*Compliance
Through Reliance*

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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BOOKKEEPING & FINANCIAL REPORTING	BLACK BOOK	RED BOOK	BLUE BOOK	GREEN BOOK
Monthly Pricing.	\$1,500+	\$1,000+	\$750+	\$500+
Full financial statement preparation – trial balance, balance sheet, income statement, general ledger and customized chart of accounts.	Monthly	N/A	N/A	Monthly
Net Capital computation – schedule of non-allowable assets, schedule of aggregate indebtedness, haircuts and undue concentration.	Monthly	Monthly	Monthly	N/A
Account reconciliations.	Monthly	N/A	N/A	Monthly
Journal entries.	Monthly	N/A	N/A	Monthly
FOCUS report preparation and filing.	As required	Monthly	Quarterly	N/A
Year-end audit adjustments.	Hourly	Hourly	Hourly	Hourly
Financial Reporting consulting – audit support, research services, written supervisory policies and procedures.	Hourly	Hourly	Hourly	Hourly
SEC Rule 15c3-3 exemption testing for proper handling of customer funds and securities.	Hourly	Hourly	Hourly	Hourly
NFA FOCUS report preparation and filing.	Additional Fee	Additional Fee	Additional Fee	N/A
Preferred pricing for projects.	Included	Included	Included	Included
Regulatory Compliance Update.	Included	Included	Included	Included

* Hourly - Billed at preferred hourly rates