



## Real

Regulatory and In-House Compliance Experience

Certified Specialists

Industry Experts

Recognized Industry Leaders

## Reliable

Customized Solutions

Rapid Response

Multiple Points of Contact

Practical Guidance

Cost-Effective

## Solutions

Compliance Examinations

Regulatory Response and Litigation Support

Compliance Administrator Program

“FIN-OPS” Financial Operations Principals

Business Planning, Startup, Registration & Licensing

Compliance Programs & Written Supervisory Procedures

## 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.

### SCAN ME

Request for Services Proposal



[www.RRSCompliance.com](http://www.RRSCompliance.com)

(561) 368 - 2245



## COMPLIANCE *through* RELIANCE



Real,  
Reliable,  
Solutions

RRS offers a customized, “hands on” approach designed to integrate with your firm’s compliance infrastructure. Our consultants work closely with your senior management and compliance team to assess the firm’s needs, develop recommendations, and prepare a project plan to implement the recommended strategy. Whether you manage an established firm, are considering a startup, or serve as outside counsel, we offer a wide range of services designed to meet virtually every regulatory compliance need.

### COMPLIANCE EXAMINATIONS

Financial services firms are under increasing pressure to conduct comprehensive testing of their operations, policies, procedures, and internal controls structure. RRS’ staff is uniquely qualified to conduct compliance examinations for registered investment advisers, investment companies and broker-dealers, as well as performing independent testing of Anti-Money Laundering programs. We tailor our examination programs to fit your needs by providing multiple levels of service that meet or exceed regulatory requirements for periodic reviews. Our compliance examination services range from a gap analysis of written compliance policies and procedures to forensic testing of supervisory processes and controls.



### REGULATORY RESPONSE AND LITIGATION SUPPORT

RRS provides a comprehensive suite of regulatory response, litigation support, and expert witness services designed to assist your firm or outside counsel with regulatory examinations, enforcement proceedings, and other litigation matters. Our Regulatory Consultants have extensive industry expertise and management experience with regulatory organizations and have served as Independent Consultants in connection with regulatory settlements on a wide range of complex matters.

### COMPLIANCE ADMINISTRATOR PROGRAM AND “FIN-OPS” FINANCIAL OPERATIONS SUPPORT

Whether your firm is a startup, undergoing a merger, rapid growth, or a reorganization, RRS’ staff can provide temporary or long-term support for virtually any compliance need. As a provider of customized compliance support, we can structure any combination of our services for delivery on-site or remotely to suit your particular circumstances.

RRS provides a full range of services to assist Financial Operations Principals and CFOs with bookkeeping and financial statement preparation. Your firm can leverage our decades of expertise to handle net capital computations, and regulatory filings, including FOCUS, SSOI, SIS, and annual audits. For both broker-dealers and investment advisers, our finance team also works closely with your in-house financial team or outside CPAs to prepare and file annual audits as required.

### BUSINESS PLANNING, STARTUP, REGISTRATION & LICENSING

RRS has an in-depth understanding of the regulatory requirements for starting an investment adviser or broker-dealer that includes extensive experience with SEC and state registration requirements. Broker-dealers can also engage RRS to assist with the FINRA New Membership or Continuing Membership Application (NMA/ CMA) processes.

### COMPLIANCE PROGRAMS, WRITTEN SUPERVISORY & INTERNAL CONTROLS POLICIES AND PROCEDURES

Our clients leverage RRS’ depth and breadth of expertise to customize compliance programs with written policies and procedures that fit their unique business model. Our consultants will work closely with your firm’s business leaders and staff to tailor a compliance program to your specific business and operational needs considering supervisory structure, technology infrastructure, and existing compliance controls.

