



ONE Source: *many solutions.*

NRS ComplianceEssentials™ and NRS Resources™ for Investment Advisers, Broker/Dealers and Hedge Funds

*Essential and cost effective compliance resources
to help you and your firm meet regulatory and
compliance requirements.*



Easy-to-use, low-cost solutions designed and maintained by NRS' compliance experts.

NRS Resources™

HEIGHTENED REGULATORY SCRUTINY and a multitude of new regulations have resulted in compliance burdens that can easily become overwhelming for firms of all sizes. Hiring qualified compliance personnel is one solution, but increasing staff may be difficult in the face of tightened budgets. NRS offers a compelling solution for this problem, especially suited for the firm with fewer staff or for compliance personnel who share their time with duties in other departments.

NRS' Resources™ program provides a compliance framework that is structured and systematic, a program designed to get your firm on the path toward regulatory compliance and help keep it there.

NRS' compliance experts have developed the Resources compliance implementation plan designed around a series of monthly, web-based compliance workbooks. These step-by-step modules guide you through a comprehensive annual compliance program. All you need are a few hours each month and a commitment to developing a strong, cohesive "culture of compliance" within your firm. Resources combines the critical elements of a compliance program into a simple, comprehensive and affordable package, designed specifically for the smaller firm.

NRS can provide versions of the NRS Resources™ solution for Investment Advisers, Broker/Dealers and Hedge Funds. An annual subscription to NRS Resources™ includes:



Monthly Compliance Modules

At the heart of NRS' Resources™ program are our proprietary compliance modules. Each month, when you log in to your own personalized compliance portal, you will receive your firm's monthly compliance tasks and activities, organized through a series of online workbooks. The full series of modules address recurring monthly activities as well as quarterly and annual responsibilities. Throughout the process, regulatory background information, as well as hints and tips, help guide you through the process.

Model Policies and Procedures Manuals

Comprehensive and effective Policies and Procedures are the cornerstone of every firm's compliance program. As a Resources™ subscriber, your firm receives a fully customizable policies and procedures manual. NRS provides the base content and framework, allowing you to customize and adapt the Manual to meet your firm's specific business model and regulatory needs.

Model Business Continuity Plan

Included is a fully customizable model Business Continuity Plan. Regulators often look to the structure of a firm's Business Continuity Plan as a good indicator of how committed the firm is to its clients. The Resources™ Business Continuity Plan offers the base content and framework of your plan, allowing you to focus your time and energies on compiling the critical business information to make it complete.

Model Forms and Documents Library

NRS Resources™ provides access to an extensive library of compliance-related forms and documents. Designed and updated by our compliance professionals, these model forms meet many of your day-to-day operational needs and may be downloaded and modified to meet the specific needs of your firm.

Monthly Web Seminar

Each month, the NRS Resources™ program provides you with a one-hour web seminar, delivered by one of our compliance professionals, focusing on a current hot topic. This seminar addresses current regulatory concerns associated with the topic and culminates in an open Q&A session with our compliance expert.

Optional "Plus" Consulting Service

Resources subscribers have the option to purchase a monthly consulting program that provides access to NRS' Resources consulting team for one hour each month. This optional service provides on-demand expertise and the peace-of-mind knowing that a full team of skilled professionals is available and on-call for your particular needs!



NRS ComplianceEssentials™

EVEN HIGHLY EXPERIENCED FIRMS with a multitude of compliance resources find that maintaining an adequate and effective compliance program is a difficult task. NRS ComplianceEssentials™ was developed with that in mind, to provide firms with essential tools and utilities necessary to design and implement a comprehensive compliance program.

NRS ComplianceEssentials™ may be used as the compliance portal™ for your entire firm, allowing employees access to customized forms and documents, as well as the firm's Code of Ethics and Policies and Procedures Manual. This single solution may also be used to notify staff about compliance or operational issues, and for gathering and compiling necessary attestations from your employees.

NRS ComplianceEssentials™ was designed by NRS' compliance experts as an all-in-one solution to assist you in meeting the ever-changing regulatory requirements, and as a tool for developing and managing an efficient, effective and comprehensive compliance program tailored to meet the specific needs of your firm.

NRS offers NRS ComplianceEssentials™ modules for Investment Advisers, Hedge Fund Advisers, Broker/Dealers, and also for firms regulated under the Financial Services Authority. Each module includes:

Policies and Procedures Manuals

NRS provides comprehensive and customizable Policies and Procedures manuals for Investment Advisers and Hedge Funds and also Written Supervisory Policies and Procedures and Registered Representative Compliance manuals for Broker/Dealers. Included is a profiling tool to assist your firm in customizing the appropriate manual. Updates are provided using NRS' "smart updating" technology so that your changes are never overwritten even when notified of a necessary change. The system also includes a powerful version control and archiving tool which automatically saves each version of the manual that you "publish," allowing you to meet your recordkeeping requirements.

Code of Ethics

NRS ComplianceEssentials™ includes a model Code of Ethics for your Investment Adviser or Hedge Fund firm. Using the built-in tools, you can send and track attestations and create a restricted list that is easily accessible by all personnel.

Model Forms

Use NRS ComplianceEssentials™ to keep your Form ADV current and accessible. In addition, the system's Document Library provides more than 50 model forms and documents including personal securities trading forms, Compliance Program Rule assessment forms, privacy statements, client communication and employee forms, all of which can be customized before use by any of your firm's staff.

Tools and Guides

Access current SEC Document Request Lists, model reports, a breakpoint checklist, a Rule 3013 report template, model client contracts, sample file folder labels to help assist with organizing a start-up recordkeeping system and other tools to keep your compliance department up-to-date. In addition, NRS also provides guidance and best practices for areas including disaster recovery, privacy, trading and anti-money laundering.

Registration Tracking

The NRS ComplianceEssentials™ Broker/Dealer module includes a registration, license and continuing education tracking tool that may be used to organize this critical information for your registered personnel. This module can be linked to FINRA's Web EFT system to enable electronic filing of U-4s and U-5s. (FINRA fees apply.)



Rules and Regulations Database

In order to keep you informed, alerts will be emailed to you whenever there is a rule or a regulatory change. The system also includes an easily searchable database of rules and regulations from the SEC, FINRA and state regulatory authorities.

News

Stay current with one source for daily news and information specifically pertinent to investment advisers, broker/dealers and hedge fund advisers. The articles focus on the most pressing issues impacting compliance professionals and offer practical guidance and tips on how to implement effective compliance programs within your firm.

Optional E-Mail Archiving

An optional, yet fully integrated, e-mail surveillance and archiving solution may be added to your NRS ComplianceEssentials™ subscription. This cost-effective solution is accessed directly from NRS ComplianceEssentials™ and allows for the automatic capture, review and archiving of electronic messages.

Both of these solutions provide you with a comprehensive compliance program.
The table below will help you decide which solution is right for you.

Features	NRS Resources™	NRS ComplianceEssentials™
FOR INVESTMENT ADVISERS		
Online Form ADV		✓
Policies and Procedures Manual	✓	✓
Forms and Documents Library	✓	✓
Online Business Continuity Plan	✓	✓
Exam Checklists	✓	✓
Compliance Calendar		✓
Monthly Compliance Workbooks	✓	
Integrated Email Tool		✓
Code of Ethics	✓	✓
Restricted List Tracking		✓
Plain English State-by-State Requirements		✓
Monthly Web Seminar	✓	
Compliance News	✓	✓
FOR BROKER/DEALERS		
Written Supervisory Policies and Procedures		✓
Registered Rep Manual		✓
Forms and Documents Library	✓	✓
Online Business Continuity Plan	✓	✓
3012 Gap Analysis	✓	
AML Independent Test	✓	
Exam Checklists	✓	✓
Compliance Calendar		✓
Monthly Compliance Workbooks	✓	
Integrated Email Tool		✓
Plain English State-by-State Requirements		✓
Monthly Web Seminar	✓	
Compliance News	✓	✓
FOR HEDGE FUNDS		
Online Form ADV		✓
Policies and Procedures Manual	✓	✓
Forms and Documents Library	✓	✓
Online Business Continuity Plan	✓	✓
Due Diligence Questionnaire		✓
Exam Checklists	✓	✓
Compliance Calendar		✓
Monthly Compliance Workbooks	✓	
Integrated Email Tool		✓
Code of Ethics	✓	✓
Restricted List Tracking		✓
Monthly Web Seminar	✓	
Compliance News	✓	✓



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free demo, call 860-435-0200 or visit us
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