

ONE Source: *many solutions.*





COMMITTED TO PROVIDING THE SOLUTIONS AND SERVICES FOR:

- Broker-Dealers**
- Investment Companies**
- Hedge Funds**
- Insurance Companies**
- Investment Advisers**

TRUST

NRS, a division of SourceMedia has been providing compliance services to the financial services industry for almost 25 years. We work with thousands of clients annually and provide consulting and customized compliance solutions to assist firms in meeting the constantly changing regulatory environment.

EXPERIENCE

Experience from a regulatory perspective is not enough in today's complex and highly competitive marketplace. For almost 25 years, NRS consultants have consistently provided both business and regulatory expertise to solve the most complex compliance issues. Our clients continue to rely on our unique ability to implement practical solutions for their compliance issues. We add value by allowing you to focus on activities that will enhance your profits, reduce expenses and most importantly, eliminate the risk of not being compliant.

INTEGRITY

Being in business for almost a quarter of a century establishes NRS as a firm that is committed to providing compliance consulting solutions integrated into a firm's business practices. As your needs dictate, veteran compliance and registration specialists are able to assist you in one integrated program. The largest consulting firms may lose their ability to supply a coordinated effort — not NRS. Our firm is committed to providing products and services for broker-dealers, investment advisers, hedge funds, insurance and investment companies that we believe are the most comprehensive in the industry.

IN THE PRESENT BUSINESS and regulatory climate, it isn't enough to be successful in product selection or sales alone. You must have an effective compliance program. The most successful firms make compliance work for them by making it part of their total business plan. And, with good reason: the penalties for failing to comply with securities regulations can be substantial.



CONSULTING

Safeguarding against lawsuits and regulatory fines through competent compliance can save your firm enormous amounts of money, as well as preserve your reputation. Our specific services to you are always confidential.

With NRS, you benefit from highly skilled professionals with an extensive history of consulting engagements on the leading edge of new compliance issues. In the world of compliance, one change may impact another business function, or any affiliates or alliances you may have. We can assess and report potential issues and resolutions to you immediately.

Today's regulatory environment is not only changing frequently, but regulators are also continuously changing their focus, forcing you to be certain the firm is constantly monitoring and implementing compliance requirements. Oversight can seem never-ending and overwhelming.

Managing compliance risk is an important goal for firms. NRS can assist firms in meeting that goal by offering a complete mock inspection or a customized consulting engagement designed by the firm and our consultants based on your needs. To be certain your



firm is meeting its compliance mandates, NRS can conduct forensic testing of your firm's policies and procedures, as well as the required annual review. In addition, our expertise in this area has allowed NRS to perform many regulatory mandated examinations of firms. Our consultants monitor and interpret SEC, State and FINRA rules; and can determine the most appropriate actions to take to remain compliant.

NRS has been providing custom consulting solutions to our clients that include but are not limited to:

- > Regulatory Exam Risk Assessments
- > Due Diligence Reviews
- > Customization of Policies and Procedures Manuals
- > Branch Office Inspections
- > Annual Compliance Meetings
- > Blue Sky Services
- > AML Audits
- > Employee Training
- > Custom Consulting Programs

EDUCATION

The best way to remain compliant is to maintain an up-to-date training program for compliance personnel. Education is the best form of assuring that new compliance requirements are integrated into the operations of the firm and that routine procedures are updated to coincide with new or changing requirements.

NRS is a leader in providing education through:

- > Annual Spring and Fall Compliance Conferences
- > NRS Desktop Seminars
- > Topic Specific Conferences
- > Customized Training Programs



SOLUTIONS

NRS will uphold its reputation for adhering to a high standard while assisting firms in creating compliance solutions that will withstand regulatory scrutiny. We rely on the expertise of our consultants to contribute to and to ensure our products meet regulatory requirements:

NRS ComplianceEssentials™

The most comprehensive product available to meet regulatory requirements for investment advisers, hedge funds and broker/dealers.

NRS Written Policies and Procedures

For broker/dealers or investment advisers, this online system provides customizable firm policies and procedures, quarterly updates, as well as attestations and email capability.

NRS ComplianceEssentials™ Annual Review Tool

Make your annual review a simpler task with this solution designed to assist in monitoring the review process.

Resources™

A compliance program that includes a step-by-step assessment on a monthly basis designed to get your firm on the path to compliance and help keep you there. This program assists the CCO in creating a culture of compliance within the firm and keeps the compliance program on track throughout the year.

Branch Office Audit Tool

An online solution to assist personnel in auditing branch offices in a timely, effective and consistent manner.

NRS Blue Sky Solution

An intuitive system designed to achieve improved efficiency, accuracy and expense management in the Blue Sky operations of any size firm.



ComplianceMax Enterprise Technology

A fully integrated compliance management program that provides custom designed workflows based on your firm. Tasks and activities are sent to personnel based on your pre-defined business rules and the system allows instant access to reports, status and historical trends. Oversight and tracking of such areas as advertising reviews, customer complaints, branch audits and gift reporting have never been easier.

NRS constantly monitors and assesses changing compliance rules and regulations, and has visited with hundreds of firms gathering information to develop compliance solutions unique to the financial services industry. We transform that industry expertise into solutions that make complying easier.



CERTIFICATE PROGRAM

NRS is proud to be the first in the industry to offer the Investment Adviser Compliance Certification Programsm co-sponsored by the Investment Adviser Association to assist compliance officers in achieving the designation of IACCPsm. This designation is a recognized symbol in the industry of the sophistication and expertise of that compliance officer and the value that officer can bring to the employing firm. This program was designed to affirm the knowledge required to be a Chief Compliance Officer for an advisory firm in today's highly regulated environment. The NRS Center for Compliance Professionalssm will help ensure that the individuals earning the Certified Compliance Professional designation have been trained, tested and certified to meet high industry professional standards.

About NRS

NRS, a division of SourceMedia is dedicated to offering the most efficient, technologically up-to-date, cost-effective and business-focused compliance solutions, consulting services, conferences, and online seminars; and is the first to offer the Investment Adviser Compliance Professional Certificate Programsm to the financial services industry.

NRS has provided registration and compliance related services to the financial services industry since 1983. Through consulting or our technologies, NRS will assist your firm in meeting today's regulatory requirements. NRS can provide custom consulting, branch office audit technologies, online compliance tools, online seminars and conferences to assist compliance officers with the multitude of compliance requirements. Now with offices nationwide, our firm continues to be committed to investment advisers, broker-dealers, investment companies, insurance companies, and hedge fund managers.



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