



Creating a culture of compliance within your firm is not something that happens overnight. It's an ongoing process that is driven by appropriate focus and facilitated by tools that are specifically designed for such a task.

ComplianceGuardian is a comprehensive, online solution designed to create just such a culture—providing busy Investment Advisers and Broker-Dealers with the ideal composite of NRS's industry-leading technology and proven, reliable guidance and assistance. The result is a solution which effectively manages compliance matters, navigates fast-changing rules and helps you quickly understand complex issues while integrating smoothly with your workflow processes and delivering the peace of mind that comes with the achievement of regulatory compliance.

ComplianceGuardian is an integrated, online collection of Compliance Management Tools:

Monthly Compliance Workbooks

This tool serves as the core engine of ComplianceGuardian, breaking down the daunting task of your annual compliance program into more manageable monthly workbooks that walk you through various compliance reviews. Together, these workbooks compose your annual review driving the culture of compliance in your business by allowing you to allocate time throughout the year for compliance rather than tackling it as a one-time-yearly, overwhelming process.

Model Documents

This centralized compliance library not only saves you time by providing immediate access to such documents as Form ADV, business continuity plans and code of ethics models, it also streamlines your workflow, enabling you to spend less time building required documents from scratch and, instead, focus on making them specific to your unique business. With ComplianceGuardian's Model Documents, you'll improve your operational efficiency, time management and overall effectiveness.

Searchable Policies and Procedures

This convenient tool allows you to quickly locate the policies and procedures that are instrumental to your practice. It streamlines your ability to implement Written Supervisory Policies and Procedures (WSP) that are key to your firm. It includes a firm profile questionnaire, which will guide you in customizing the sample firm policies and sample procedures. The advanced search functionality, accessible to your entire team of professionals, makes this tool a vital resource for completing mission-critical assignments.

Daily Compliance News and Research Center

Stay current with the latest regulatory news and important dates with e-mail alerts, compliance calendars, guides, checklists and other tools that ensure you'll have immediate access to the information you need to reduce risk and meet regulatory standards. ComplianceGuardian's personalized compliance portal places guidance and reminders for monthly, quarterly and annual responsibilities at your fingertips.

Web Seminars

With ComplianceGuardian you will be entitled to attend monthly, hour-long Web Seminars presented exclusively for our subscription customers on topics aligned with subject matter carried in the Monthly Compliance Workbooks that will increase your understanding of complex compliance issues. In addition, you may also choose three NRS Desktop Seminars, recognized for their depth of content and matter-of-fact, real-life training examples, from our standard event schedule.

NRS Consulting

Your ComplianceGuardian subscription includes one hour per month of on-demand, one-on-one consulting via the telephone with NRS's experienced team of compliance professionals. These compliance professionals provide solid direction for your most in-depth compliance matters delivering the insight that you've come to expect from NRS while perfectly supplementing the solution's other compliance tools.

With ComplianceGuardian, you have online access to information and educational resources that enable Investment Advisers and Broker-Dealers to successfully handle real-world compliance situations. Built on the knowledge NRS has acquired in its 25 years as an authority on compliance serving 7,000 firms with a wide-range of business needs, ComplianceGuardian will help you create a culture of compliance within your business.

To learn more visit www.nrs-inc.com/guardian.