



NRS Consulting Solutions

Decades of Compliance Experience and Expertise for Compliance Confidence

NRS[™]

»» Compliance Confidence

www.nrs-inc.com



NRS Consulting Solutions Deliver Smart Compliance Confidence

NRS is the recognized expert in testing and assessing the adequacy and effectiveness of firms' compliance programs and culture. Our Compliance Consulting helps ensure that compliance programs are ready to meet demanding regulatory challenges. The most complex firms confidently rely on our decades of experience providing customized compliance services and solutions to the financial services industry.

Firms benefit from the knowledge and expertise of NRS compliance professionals: a team of former CCOs, legal professionals, and former regulators. As experts in SEC, FINRA and state regulatory compliance, NRS compliance professionals engage with a firm's compliance team to identify regulatory requirements, develop consistent policies and procedures, and prepare for regulatory examinations. Firms involved in enforcement proceedings often rely on NRS to serve as the independent compliance consultant approved to assist with oversight and remediation.

Onsite

NRS Annual Review service helps firms meet requirements of the Investment Advisers Act of 1940 Rule 206 (4) – 7. NRS compliance experts work with you, facilitating onsite reviews of applicable rules and regulations to assess compliance, allowing you to meet the annual review requirement and to determine the effectiveness of your firm's compliance program.

NRS Anti Money Laundering (AML) Review

audits a firm's AML program to determine if it is compliant with FINRA rules. Working with key stakeholders at your firm, NRS compliance experts conduct an onsite review and test of your firm's AML program, policies and procedures.

NRS Compliance Reviews help firms stay ahead of ever-changing FINRA, SEC and State regulations. Our compliance experts execute a comprehensive assessment of your firm's compliance program, test it against applicable regulatory requirements, and help identify and remediate compliance risks.

NRS Cyber Security Review provides expertise in emerging cyber-threats, new State and Federal

mandates, and policies, procedures and technology solutions designed to secure a firm's perimeter and mitigate risks. OCIE's examinations focus on risk identification, cyber security governance, network and data protection, and risks associated with remote customer access vendors and third parties.

NRS Mock SEC Examination evaluates the ability of key personnel, processes and records to help determine if your firm's commitment to compliance will meet regulatory expectations.

Partnerships

NRS Annual Updating Amendment services partner you and NRS compliance experts to ensure timely and accurate filing of your Form ADV annual updating amendment and payment of annual renewal fees for your firm.

NRS Partnership Program combines access to our compliance experts, education programs and courses and ComplianceGuardian™. Available in three configurations, there is an NRS Partnership program that is right for your firm.

Premier Compliance Partnership services are delivered by NRS compliance experts and supplement your internal compliance teams with expertise that helps your firm keep pace with changing regulations.

NRS Blue Sky Permit Administration provides a powerful combination of robust software and domain expertise to ensure your funds are in compliance and exempted transactions are acknowledged, minimizing reputation risk and maximizing fund resources.

NRS Blue Sky Admin – Private Offering (Reg. D Rule 506) compliance experts combine decades of

experience with our robust NRS Blue Sky Solution System™ to ensure that your firm remains compliant.

Registration

Investment Adviser Registration with the SEC and state regulators is complex. NRS compliance experts guide investment advisers through registration as you take the steps required to establish your practice.

Broker Dealer Registration services open your new broker dealer firm with an effective compliance infrastructure from day one. NRS compliance experts guide broker dealers through registration and help you establish your practice.

NRS For Technology, Consulting & Education

Whether your organization is large and seeking to streamline compliance workflow or small and needs to reduce time spent on compliance, NRS has solutions for the entire breadth of compliance challenges.

NRS delivers robust proprietary software, deeply experienced consultant compliance professionals and education, from engaging conferences to skill building, exam prep and CE – each continually updated – for compliance confidence. We balance regulatory requirements with real-world business demands for custom solutions designed to keep you in compliance and align with your business needs.

Reduce costs, increase efficiencies, stay informed and stay in compliance. Our offerings are flexible, comprehensive and backed by extraordinary customer care.

Contact NRS

1-860-435-0200 info@nrs-inc.com www.nrs-inc.com



accuity.com
www.nrs-inc.com

Fircosoft

Bankers
ALMANAC

NRS

New York, NY // Boston, MA // Lakeville, CT // Evanston, IL // San Diego, CA

For over 30 years as the nation's leader in compliance and registration products and services for financial services firms, NRS has helped clients guide their compliance strategy, minimize their risk and lower their costs. We utilize three synergistic product lines in technology, education and consulting to create customized compliance solutions for our clients.