



NRS Technology Solutions for Broker Dealers

Compliance Confidence
with Ease and Efficiency

NRS[™]

» Compliance Confidence

www.nrs-inc.com

NRS Technology Solutions Efficiently Deliver Compliance Confidence

Designed to be the backbone of your firm's compliance infrastructure, NRS technology solutions, ComplianceGuardian™, ComplianceMAX™, and Blue Sky Solution System keep you confidently in compliance as rules and regulations change. Leverage one or any combination of our products to streamline processes, track activities, archive information and be audit-ready. Our technology products are modular, scalable and informed by NRS expert compliance professionals.

With NRS technology solutions, you can expeditiously develop compliance manuals; review ads; track registrations, disclosures, gifts and entertainment activities; and speed new funds compliantly through Blue Sky regulations.

On-boarding is fast and guided by NRS compliance experts. Your data is clean and correct from the start. Our software is easy to use and pre-empts issues through clear calendaring and notifications. Our content has been developed by leading industry compliance professionals – with experience working in the private sector and for regulatory bodies. Add NRS consulting expertise and/or an NRS education program and cultivate a compliance culture within your firm.

NRS Ad Review aligns easily with your firm's unique existing policies, procedures and workflows. NRS Ad Review experts provide swift on-boarding based on compliance best practices and real-world business demands.

NRS Audit Technology eases the entire findings and remediation cycle while also maintaining a comprehensive audit trail. It provides for

easy communication and follow-up between compliance teams and branch locations.

NRS Disclosures and Attestations solution delivers a streamlined and verifiable submission process that eases the burden of disclosures and attestations for you and your registered representatives by automating, consolidating and centralizing the process.

NRS Firm Element Solution provides compliance professionals with world-class support by NRS experts who assist firms in selecting, implementing, monitoring and documenting a Firm Element CE plan.

NRS Gifts and Entertainment solution swiftly streamlines the process and keeps you fully compliant with FINRA Rule 3220 and MSRB G-20 through configurable templates, increased transparency and easy T&E, HR and CRM integration.

NRS Outside Business Activities solution maintains FINRA Rule 3270 compliance by providing one easy-to-use interface for form completion and submission, amendment for when activities change, and streamlined ability to request additional information and deny, approve or approve with restrictions.

NRS Registration and Licensing solution allows managers to review and submit U4/ NRF filings on behalf of Reps directly to FINRA's CRD and comply with NRS technology solutions, ComplianceGuardian™, ComplianceMAX™ and Blue Sky Solution, supervisory control rules.

NRS ComplianceGuardian™ Policy & Procedures (WSP, Registered Rep Manual) puts your firm's written supervisory procedures swiftly in place. Manual content is updated quarterly by NRS experts and smart-update



technology protects your custom content by not allowing it to be overwritten.

NRS Monthly Compliance Program ensures critical compliance updates are met by speeding compliance tasks and providing helpful information as you complete each requirement.

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

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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.