

A PARTNERSHIP AIMED AT THE INTERSECTION OF RISK MANAGEMENT & TECHNOLOGY

Renaissance Regulatory Services (RRS) and Strategy Basecamp Announce Consulting Alliance

Boca Raton, Florida - March 11, 2014

“Renaissance Regulatory Services (RRS) and Strategy Basecamp, both consulting firms focused exclusively in the financial services industry, have announced a formal alliance. The firms have a history of serving similar clientele, in a consistent manner, and the principals have experience working together dating back to the ‘90s. Forming a strategic alliance allows our firms to jointly deliver services aimed at helping our clients manage the increasing complexity of regulatory compliance, primarily through the savvy use of technology.”

Renaissance Regulatory Services

Renaissance Regulatory Services, Inc. provides comprehensive regulatory compliance and operational consulting and support services to broker-dealers and investment advisers. Specializing in compliance audits, written supervisory procedures and internal controls, RRS provides the experience to meet your compliance needs.

Primary Services

1. Compliance Examination & Testing
2. Compliance Program, Policies & Procedure Development
3. Business Planning & Registration Services
4. Financial Reporting & Bookkeeping
5. Compliance Support Services
6. Litigation Support

Strategy Basecamp

Strategy Basecamp is a consulting firm focused exclusively in the financial services industry. We partner with executives and managers at independent broker-dealers, registered investment advisors and independent producer groups/firms to facilitate strategic business planning and to help them competitively leverage technology effectively.

Primary Services

1. Strategic Business Planning
2. Technology Assessments
3. Strategic Technology Planning & Execution
4. Project Management & Execution
5. Compliance System Implementation & Optimization
6. Exception Reporting & Rules Engine Management

Areas of Synergy: Compliance and Risk Management Automation

Improved Compliance through Data Management & Systems Integration

- Create the most effective data management approach across various proprietary and industry data sources
- Recommend data management improvements

Improved Account Opening and Suitability Review

- Enhanced efficiency in opening accounts
- Automate suitability review in a rules based manner
- Monitor the establishment of high risk accounts

Efficient Sales Practice Surveillance

- Cost effective automated surveillance customized for the firm’s risk profile
- Configure trade rules engine settings

Profitably Manage Regulatory Change through the Effective Use of Technology

Where Technology Meets Compliance

Working together, RRS and Strategy Basecamp will enable your firm to leverage our complimentary expertise to improve operational and compliance infrastructure. Our team can assist with hardware and software systems inventory, data mapping, and systems upgrades while ensuring that important regulatory compliance considerations are factored into the process. We can also assist with the due diligence process for third party vendors and develop ongoing monitoring programs for third party vendors and outsourced services.

Selected Projects

1. Integrating Compliance and Operational Systems
2. Ensuring Your Electronic Communications Comply with Applicable Record Keeping Rules
3. Document Management System Selection and Optimization
4. Selection, Implementation and Integration of a New Account Opening System
5. Optimization of Your Rules-Based Compliance and Surveillance Systems (Pre- and Post-Trade)
6. Create Efficiencies in Commissions Processing to Help Ensure Proper Payouts and Payment Holds

Leveraging Technology to Manage Compliance, Supervisory & Regulatory Change

Benefits of Improved Risk Management Automation

- Improved Data Management
- Lower Cost of Regulatory Compliance
- Improved Sales Practice Surveillance
- More Efficient Regulatory Audits
- Increased Profitability of Your B-D or RIA
- Strategically Monitor Risk Management Trends



For more information about how **Renaissance Regulatory Services and Strategy Basecamp** can help automate your risk management activities, call us at (334) 392-5000 or (561) 368-2245.

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