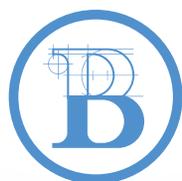




architecting  
solutions  
for risk



**BLUEPRINT**  
REGULATORY CONSULTING

Blueprint Regulatory Consulting (BRC) is a full service regulatory consulting firm that architects customized compliance solutions for broker-dealers, investment advisers, and hedge funds. In an ever-changing regulatory environment, BRC utilizes the direct regulatory experience of its consultants to strategically analyze and assist its clients with implementing cost effective, risk based compliance solutions. Since compliance programs vary by each type of organization, developing a successful compliance blueprint is contingent upon properly assessing and unlocking the keys to risk.

## Our approach

Imagine building a skyscraper with excellent ironworkers, contractors, electricians, and state-of-the-art materials and equipment, but no blueprint. The lack of a master plan to combine the individual efforts of each group member would cause an insufficient utilization of resources, likely resulting in an inferior structural outcome and increased costs. The architectural guidance provided by a proper blueprint is perhaps the most critical component in the building process. As such, the right architects are necessary to provide the technical expertise and creative skills to help you realize a project that meets your practical needs and budget.

New products and services, increased regulation and globalization of markets continues to create challenging compliance and operations issues for firms of all sizes and business models. Based upon these transforming factors, organizations must continue to assess the specific risks of their business activities in relation to the evolving regulatory landscape. When comparing the process of establishing an effective compliance program to constructing a building, it becomes clear that a sound plan should be architecturally constructed, thus following a customized blueprint. BRC specializes in architecting solutions for risk.

BRC's keys to architecting solutions for risk are based upon the following components:

- Regulation**– Various state, federal and self regulatory rules and regulations govern overall business activities conducted by financial institutions. Architecting a proper compliance program requires a proper assessment/evaluation of the regulatory framework that is applicable to an organization's structure and specific business activities.
- Interpretation**– Misinterpretations of regulatory requirements is the primary factor that exposes organizations to greater regulatory scrutiny. Architecting customized compliance solutions requires the ability to properly interpret regulatory requirements and expectations through direct regulatory experience.
- Strategy**– To properly develop customized compliance solutions, it is critical to organize the proper architectural plan specific to the business activities and risks of each organization.
- Knowledge**– The ability to understand regulatory requirements enables organizations to properly assess risk and implement proper compliance programs. In order to create and implement customized plans, it is necessary to properly understand and apply the examination methodologies utilized by regulators.



# Dedicated to providing compliance solutions and services for:

**Broker-Dealers | Investment Advisers | Hedge Funds**

As market conditions and the regulatory landscape continue to evolve and become more challenging, you must look for ways to strengthen your business in conjunction with compliance. The common factor maintained by successful financial institutions, is their operational commitment to integrity and conducting ethical business activities fostered through compliance. To remain successful in today's marketplace, you must ensure that compliance is not an afterthought, but the cornerstone of your business plan. The failure to architect an effective compliance program can result in significant regulatory sanctions, likely impacting your firm's valued reputation and even its continued profitability.



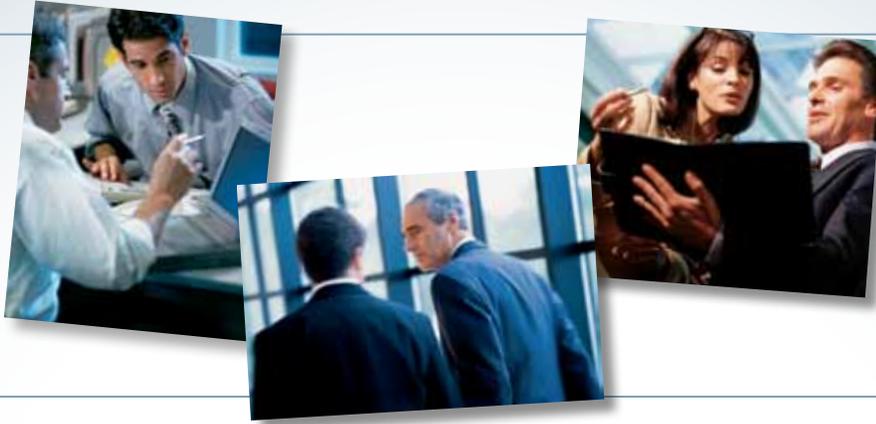
## Compliance Consulting Services

Customized, risk based compliance can protect your firm from potential litigation and regulatory fines, while safeguarding your most precious and costly asset - Your Reputation. By partnering with BRC, you benefit from proficient and accomplished professionals with an extensive history of direct regulatory and consulting experience who are at the forefront of new compliance developments.

Today's regulatory landscape continues to change and evolve, resulting in an ever-changing focus and examination approach from regulators. In order to adapt to these changes, your firm should base its monitoring and compliance program upon assessing the unique risk factors posed by your primary business activities.

In the world of compliance, one significant regulatory change may impact various areas or components of your business activities and your strategic alliances; therefore, Identifying, assessing, and managing compliance risks is an important aspect for all financial institutions. BRC enables its broker-dealer, investment adviser, and hedge fund clients to reach their compliance objectives by providing a complete suite of customized compliance solutions, based upon the specific risks associated with your business activities.

Whether conducting simulated compliance examinations, customized forensic testing, or required independent annual reviews, BRC can provide your firm with the direct regulatory perspective for all of your compliance needs. Our consultants have conducted numerous high profile, risk based examinations of various size financial institutions during their consulting and regulatory tenures. Such expertise enables BRC to conduct regulatory mandated examinations and fraud investigations.



Our consultants continuously monitor for changes in FINRA, SEC, and State regulatory requirements in order to assess the potential impact and required actions for our clients and their existing compliance programs. BRC has been architecting customized solutions and consulting services for broker-dealers, investment advisers and hedge funds that include but are not limited to:

- Anti-Money Laundering Reviews/ Testing
- Annual Compliance Reviews
- Regulatory Risk Assessment Reviews
- Initial/Ongoing Registrations Services
- Policy and Procedure Customization
- Forensic and Fraud Investigations
- Education and Training
- Financial Reporting Services
- Simulated Regulatory Audits
- Due Diligence Reviews
- Customized Consulting Programs.

### Customized solutions

BRC's unique compliance methodologies, combined with our extensive real-world expertise, has enabled us to accurately identify trends in advance of our contemporaries. Based upon BRC's cutting edge perspective of what drives a successful compliance program, we have been able to develop risk based programs that are designed to consistently exceed our clients obligations.

Ongoing changes, increased regulatory scrutiny, and expectations have eliminated the "one size, fits all" approach to compliance. Based upon this premise, BRC views its client relationships as a partnership with the primary objective of providing customized advice and solutions. Through this partnership, we continuously strive to look beyond your immediate requirements, to design

objective, efficient, and risk based compliance solutions that adapt to your organization's changing needs. Whether you are about to expand your business operations or are establishing business for the first time, your firm represents a major investment, which can be adversely affected by non-compliance. Experienced decision-makers know that the way to maximize such an investment is by reducing compliance risk – which begins with consulting with the right compliance architects.

For more information about our services and architected solutions, please contact us at **561.245.4710** email: **info@blueprintregulatory.com** or visit our website at **www.blueprintregulatory.com**



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