



BLUEPRINT
REGULATORY CONSULTING

REGULATORY AND COMPLIANCE SOLUTIONS FOR THE FINANCIAL SERVICES INDUSTRY

Ft. Lauderdale | New York | San Francisco

Blueprint Regulatory Consulting (BRC) is a full service compliance consulting firm for the financial services industry. BRC offers custom compliance solutions for broker dealers, investment advisors, private and hedge funds, and commodities and futures firms. In a constantly changing regulatory environment, BRC is distinctly qualified to provide solutions that mitigate risks and are tailored to each client.



OUR APPROACH: UNLOCKING THE KEYS TO "RISK"

BRC's knowledge of the regulatory blueprint, expertise, and insight, enable us to effectively assist our clients in constructing compliance programs that minimize regulatory risk and increase efficiency and profitability. BRC's keys to architecting solutions for risk and designing customized compliance programs include its ability to incorporate what it views as the four (4) pillars that comprise risk:

Regulation • Interpretation • Strategy • Knowledge

REGULATION – Various State, Federal and Self-Regulatory Organizations' rules and regulations govern the overall business activities conducted by financial institutions. Developing an appropriate compliance program requires an evaluation of the regulatory framework that is applicable to each organization's structure and specific business activities.

INTERPRETATION – Misinterpretations of regulatory requirements are one of the primary factors that exposes organizations to greater regulatory scrutiny. Architecting customized compliance solutions requires the ability to properly interpret regulatory requirements and guide related expectations through direct regulatory experience.

STRATEGY – To properly develop customized compliance solutions, it is critical to organize the proper plan specific to the business activities and risks of each organization.

KNOWLEDGE – The ability to understand regulatory requirements often enables organizations to properly assess risk and poorly constructed compliance programs. In order to create and implement such a customized plan, it is essential to adequately understand and apply the examination methodologies utilized by regulators.



WHAT MAKES US UNIQUE: EXPERIENCE THAT RUNS DEEP

The direct regulatory compliance experience of our consultants is unparalleled in the industry. In fact, BRC's founding partners maintain a combined 35 years of industry experience with 15 years of direct supervisory and lead examiner experience with various regulators. Collectively, they have conducted numerous high profile, risk based examinations of various size financial institutions, during their regulatory and consulting tenures. Based upon this direct regulatory and consulting experience, BRC continues to maintain relationships with regulatory and compliance staff, which enables our consultants to remain current with regulatory expectations and trends. BRC's consultants have also held senior level consulting positions with nationally recognized consulting firms, as well as chief compliance officer and senior compliance officer positions. Additionally, BRC's

consultants are licensed securities professionals including General Securities Principals (Series 24), Financial and Operations Principals (Series 27), and Certified Anti-Money Laundering Specialists (CAMS). Our dedicated compliance professionals will design a compliance program specific to the risks of your organization. This extensive regulatory experience of BRC's consultants, combined with its practical and risk based analysis, compliments customer internal infrastructure and controls. A customized approach and availability are the key elements that separate BRC from other consulting competitors. BRC's practical approach is sensitive to client's ultimate business objectives, without compromising compliance initiatives or budgetary targets. BRC remains committed to offering a private banking approach to the compliance consulting industry.



CUSTOMIZED SOLUTIONS: TAILORED TO THE NEEDS OF EACH CLIENT

In today's evolutionary regulatory environment, a "One Size Fits All" compliance program isn't a sound approach to maintaining a robust "Culture of Compliance". As such, all of BRC's compliance solutions are provided with the unique needs of each client in mind, while working alongside each client to ensure the appropriate "Blueprint" in place to reach its compliance and regulatory goals.

JUST A FEW OF OUR SERVICES INCLUDE:

- Anti-Money Laundering Reviews/Testing
- Annual Compliance Reviews
- Regulatory Risk Assessment Reviews
- Broker-Dealer and Investment Adviser Registrations Services
- Policy and Procedure Customization
- Forensic and Fraud Investigations
- Education and Training
- Financial Reporting Services
- Simulated Regulatory Audits
- Due Diligence Reviews
- Customized Consulting Program





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