

NRS Partnership Programs

Support compliance requirements through our bundled technology, education and consulting solutions

Compliance Technology	Premier Pro	Pro Tier 3	Pro Tier 2	Pro Tier 1
ComplianceGuardian™				
Policies & Procedures	☑	✓	✓	✓
NRS Consultant to Transition firm P&P into Guardian	☑	✓	✓	
Code of Ethics	☑	✓	✓	✓
Attestation management	☑	✓	✓	✓
Compliance Calendar	☑	✓	✓	✓
Monthly testing program	☑	✓	✓	✓
Quarterly content updates to Policies and Procedures	☑	✓	✓	✓
Model forms, documents, guides and checklists	☑	✓	✓	✓
ADV and Form CRS	☑	✓	✓	✓
Annual 206(4)-7 Review Tool	☑	✓	✓	✓
Research database	☑	✓	✓	✓
News and regulatory alerts	☑	✓	✓	✓

Compliance Education/Training	Premier Pro	Pro Tier 3	Pro Tier 2	Pro Tier 1
Up to three (3) compliance webinars for CCO	☑	✓	✓	✓
IA Core Compliance Certification	☑	*	*	*
IACCP® Compliance Designation	☑	*	*	*
Spring or Fall Compliance Conference	☑	*	*	*

- ✓ - available
- ☑ - customize
- * - optional add-on



Compliance Consulting	Premier Pro	Pro Tier 3	Pro Tier 2	Pro Tier 1
Kick-off call with your dedicated consulting expert	☑	✓	✓	✓
Document request and submission	☑	✓	✓	
Registration and Filing Services				
IARD/CRD Account Administrator	☑	✓	✓	✓
Form ADV Renewal	☑	✓	✓	✓
Partial ADV-W	☑	✓	✓	✓
Form ADV Annual Updating Amendment	☑	✓	✓	✓
Other than Annual ADV Amendments	☑	✓	✓	✓
Form U4	☑	✓	✓	✓
ADV 2B (Brochure Supplements) for IARs	☑	✓	✓	✓
Form U5	☑	✓	✓	✓
Partnership Consulting				
Core Compliance Documents - Consistency Review	☑	✓	✓	
Focused Remote Risk Assessment	☑	✓		
Annual 206(4)-7 Review	☑	*	*	*
Mock examination	☑	*	*	*
Quarterly call with your consultant (deducted from ad-hoc hours)	☑	✓	✓	
Flex- 6 consultation hours annually	☑			✓
Flex- 12 consultation hours annually	☑		✓	
Flex- 18 consultation hours annually	☑	✓		
Advertising/Communication Review, including Website and Social Media	☑	*	*	*
Quarterly Trade Blotter Analysis Tool - T-BAT	☑	*	*	*
REST - Regulatory Exam Support Teamwork	☑	✓		

// [Explore a Partnership with NRS today](#)

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