

The Leading Securities Brokerage Professionals



“I have worked with Dave with five different businesses. He has extraordinary knowledge and control of every situation. I am obviously happy as I keep coming back for his service.”

—R. Hagenbuch

ACCOUNTING, AUDIT & COMPLIANCE SERVICES TO SECURITIES FIRMS NATIONWIDE

“I have enjoyed the opportunity to engage Dave twice during my career in the securities business at two different firms. Dave’s knowledge of FINRA and SEC compliance requirements, combined with his highly professional and reliable performance make him a premier securities industry consultant, in my opinion. Dave and his staff have always provided exceptional service and value. I recommend Dave and his firm to anyone in the securities business looking for help with compliance.. ”

—B. Dodson

“Dave with RND has been an asset not only to me but to thousands of financial professionals. At a time when PCAOB auditors were taking advantage of the new SEC rules, Dave offered us expert audit services at reasonable prices. It was refreshing to have a man of integrity in the financial services industry. ”

—J. Busacca



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“I’ve been engaged with RND Resources since 1996 and have always been impressed with how well they have handled my firm’s regulatory and compliance needs. I have very few regulatory issues and my needs are quickly handled by their responsive staff. I am very pleased with the service they provide.”

—L. Jen

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“ As the CEO of two broker dealers, I was fortunate to have RND Resources referred to us for compliance support. They represent the best value for money that the firm has engaged in. The firm's breadth of experience and pro active approach allowed us to focus on our business while they provided support for all operations and compliance related activities. They were effective, succinct, and to the point on all regulatory related matters during their engagement. I look forward to working with them in the near future. Their staff was always timely and efficient to our needs and available to us on a moments notice. ”



ONE STOP FOR ALL

We are the leading Securities Brokerage professionals providing Accounting, Audit and Compliance Services to Securities Firms throughout the Nation.

RND can be the sole source of expertise needed to efficiently manage regulatory and accounting requirements for Broker-Dealers, Investment Advisers, Hedge Funds, Municipal Advisers, Commodity Trading Advisers, and Futures Commission Merchants.

WHY RND

RND is dedicated to providing accounting, audit, and compliance services to securities professionals.

As a full-service firm we're capable of handling all your regulatory challenges and are committed to your success. As your needs dictate, veteran compliance and registration specialists, CPA's, MBA's, FINRA experienced examiners and proprietary trading and back office software are available to assist you in one coordinated program.

Our services integrate business planning, compliance, operations, trading, and registration. And, we've been here to assist you year-after-year since 1984.

- Full Service Brokerage Support
- On Site Audit Services
- Expert Regulatory Consulting
- Customized Compliance Programs
- Registered Principal Series 24 and Series 27

“Dave's company worked with my firm Nollenberger Capital Partners assisting our compliance effort in our broker dealer. I would highly recommend his services.”

—B. Nollenberger



WHY RND

BROKER-DEALERS

Whether you are starting a broker-dealer for the first time or have an existing firm that needs support, RND Resources is equipped with expertise and services so you can focus on running your practice and avoid compliance issues.

We handle all registration, compliance, and accounting needs.

We can tailor a program to include these services and more:

- Broker Dealer Set up and Registration
- Regulatory Consulting
- Internal Control Reviews
- Anti-Money Laundering Audits
- Branch Office Audits
- FINOP Services and FOCUS Filings
- PCAOB / CPA Audits
- Experienced Securities Tax Accounting
- Registered Principal Series 4, 24, and 27

“Dave is a consummate professional – His work was always excellent – and he is extremely knowledgeable in the details of the subject matter.”

—A. Ainsberg

INVESTMENT ADVISERS

At RND we have successfully completed hundreds of investment adviser registrations with securities regulators.

We are equipped to provide required financial statement audits including; Computation of minimum net capital requirements; Annual surprise audits; Internal control audits; and Preparation of tax returns.

“I have worked with Dave and RND since 2004, when we experienced a critical phase of our growth as a investment advisory firm. They are hard-working and know the business both from a compliance and accounting point of view. The guidance we have received has helped us succeed with our NASD examinations, and the continued accounting support has been invaluable. They go above and beyond in the expectations of their job.”

—E. Genadry

We can tailor a program to include these services and more:

- Investment Adviser Registration
- Investment Adviser form ADV Preparation
- Annual Compliance for new Investment Adviser
- 206(4)-7 Compliance Examinations and Testing
- Annual Risk Assessment
- Advertising & Marketing Review
- Web IARD and CRD Services
- Customized Compliance Program
- Solicitor Agreements
- Code of Ethics
- Written Supervisory Procedures Manual
- PCAOB & Custody Examinations

HEDGE FUNDS

We provide registration, compliance, administrative & accounting support to domestic based hedge funds.

Over the years, RND has successfully guided many fund advisers through SEC examinations and the regulatory landscape. We understand your business and can help you stay in compliance, so you can focus on raising capital and growing your practice.

We can tailor a program to include these services and more:

- Communication with shareholders, including the furnishing of financial reports.
- Communications with the general public.
- Soliciting sales of the fund's shares.
- Accepting subscriptions.
- Maintaining its principal corporate records and book of accounts.
- Performing certified audits of the financial statements.
- Disbursing payment of dividends, legal and accounting fees and officer and director salaries.
- Furnishing the offering and redemption price of shares (NAV)
- Conducting meetings of the fund's shareholders and board of directors.
- Making redemption of the fund's own shares.

We also provide for independent representation to the fund's custodian for the computation and disbursement of management and performance fees.

MUNICIPAL ADVISERS

The RND Resources team utilizes its top-notch compliance expertise to help guide municipal advisers through the maze of ever-changing regulatory compliance requirements, including registration and fiduciary duties imposed by the Securities and Exchange Commission (SEC), and Municipal Securities Rulemaking Board (MSRB).

We can tailor a program to include these services and more:

- SEC registration
- Development of customized supervisory policies and procedures
- Annual compliance program and supervisory system reviews
- Ongoing reviews of policies, procedures, agreements, and compliance documents
- Compliance education and employee training
- Registered Municipal Securities Principal Series 53

“I have hired Dave for several projects over the years. I keep coming back because Dave has a deep understanding of the regulatory issues we deal with, is capable of providing affordable solutions and occasionally offers solutions to problems which saved us money. Dave is my go-to-guy for all things FINRA/SEC.”

—J. Thrift

AUDIT SERVICES

Dave Banerjee CPA, principal of Dave Banerjee CPA an Accountancy Corp. is an experienced regulatory consultant for Broker dealers, investment advisers, commodity trading advisers, and futures commission merchants who have all trusted Dave with their regulatory, audit, and accounting needs.

We are PCAOB registered and subject to PCAOB inspections and AICPA peer reviews when conducting audits of securities broker-dealers, custody audits, and issuer audits.

We're able to assist small to mid-cap size broker dealers and SEC issuer firms nationwide.

Audit services we provide:

- Audits Conducted in accordance with PCAOB and AICPA guidelines
- 10K & 10Q Filings
- Engagement Quality Review (EQR)
- Review of Internal Controls
- SSAE16 (SAS 70) Statement of Controls Audit
- CPA Audits & Compilations
- Financial Statement Audits
- International Tax Compliance
- RIA Custody Examinations

TAX SERVICES

Dave Banerjee CPA, principal of Dave Banerjee CPA an Accountancy Corp. specializes in serving broker dealers, investment advisers, commodity trading advisers, and futures commission merchants with all of their regulatory and accounting needs.

PCAOB registered and subject to inspections to conduct audits of securities broker-dealers.

Certified Public Accountant Member of AICPA
Member California State Board of Accountancy.

Tax services we provide:

- State and Federal Income Tax Returns for Securities Firms
- Business Tax Preparation for Firms, Partnerships, and Corporations
- Individual Tax Preparation for Partners and Principals
- Tax Planning and Consulting
- Advise on Impact of Investor Allocations and Distributions
- International Tax Compliance
- Accounting, Recordkeeping, Financial Statements, and Payroll Services
- Hedge Fund Administration
- Private Equity Valuation Services

FINOP SERVICES

FINANCIAL OPERATIONS SERVICE FOR BROKER-DEALERS

RND Resources provides CPA compilation accounting reports including FOCUS filing and FINRA Compliance reporting for broker-dealers.

We'll maintain year end schedules for the annual certified audit and work with your outside auditors to complete the audit on time. If you're a small broker dealer, we'll prepackage services, along with assessment report filing, payroll and annual 1099 filings for a low monthly fee.

We're registered series 27
Financial and Operations Principal

Outsourced FinOp services:

- Register our Series 27 FINOP
- FOCUS Reports, Net Capital Computations
- Trading and Commission Statements
- Form Custody Reports
- SIPC 6 & SIPC 7
- FINRA Notifications
- Brokerage Accounting

“I have known and worked with Dave for more than 15 years. I recommend him without any hesitation. He has a solid understanding of securities industry rules and regulations.”

—S. Scott

ASSURANCE SERVICES

Our Assurance Services test financial and non-financial information of your firm. As experienced securities firm compliance and accounting professionals, we can review the validity of past business data and cycles and provide a professional opinion.

Reduce risk and make better decisions by ensuring your financial and internal data is valid and accurate.

Assurance Services we provide:

- Risk Assessment
- CyberSecurity Assessment
- SSAE SOC exams on Internal Control
- Custody Examinations
- Private Placement Due Diligence
- Email Review
- Advertising and Public Communication Review
- AML Audit
- SEC / FINRA AWC Corrective Action

CYBERSECURITY COMPLIANCE

CyberSecurity threats in the financial service sector are becoming more and more complex. At the same time, regulatory authorities are strengthening compliance and control criteria in an effort protect sensitive customer and company data.

We are committed to assisting securities firms with affordable, efficient solutions to protect data and stay in compliance.

CyberSecurity assessment and consulting for regulatory compliance:

- Cybersecurity Governance and Risk Management
- Cybersecurity Risk Assessment
- Technical Controls
- Incident Response Planning
- Vendor Management
- Staff Training
- Cyber Intelligence and Information Sharing
- Cyber Insurance Assessment

LITIGATION SUPPORT

RND Resources Litigation Support Services are built around qualified, experienced professionals with the skills you need to handle legal challenges.

Our team of specialists are able to assist with investigations and testimony around securities regulation. We also provide support in evaluating assets for matrimonial disputes and business buy-sell agreements.

With our knowledge, skill, and resources we take the anxiety and work out of litigation and arbitration.

We can tailor an engagement to include these services and more:

- Forensic Accounting
- Expert Witness Support
- Valuation Opinion
- Audit
- Accountant Deposition Support
- Marital Dissolution Asset Analysis
- Financial and Fraud Investigation
- SEC Custody Compliance
- Regulatory Compliance Analysis
- SAS 70 Compliance – Analysis & Reporting (Type I & II)

SUCCESSION PLANNING

Transitioning your business due to change of ownership or retirement is one of the most challenging decisions to make.

A strong succession plan will ensure your practice can transition smoothly, adding value for owners and clients.

If you are selling your practice or expanding by adding a new business or service, allow us to review the records and procedures to identify issues before they occur.

We'll provide you the with needed guidance for a straightforward transaction.

Types of business we review :

- Succession Planning where founders are within 1 to 7 years of retirement
- Specialized practices looking to provide a fuller range of services
- Firms with recruiting, retention, or technology challenges
- Accounting and Financial Reporting and Bookkeeping firms
- Tax Preparation audit and advisory services
- Outsourced Regulatory Compliance Services
- Regulatory Operations Support, Expert Witness, and Enforcement Representation

OUR TEAM

“Dave and his business partner are experienced professionals with deep knowledge of the Broker Dealer and RIA business rules, regulations, compliance and accounting requirements. They have worked extensively with FINRA and SEC on start ups, emerging firms as well as established firms.”

—R. Suber

**Dave Banerjee**

He has been involved in the securities industry since 1985 as an accounting and compliance specialist.

He is a CPA and member of the PCAOB and AICPA

He earned a BS in Engineering from Indian Institute Technology, an MBA from Calcutta University, and an MBA from Thunderbird, The Garvin School of International Management in Glendale, AZ.

Radhi Banerjee

She has an MBA from Thunderbird, The Garvin School of International Management in Glendale, AZ.

She has been a compliance consultant to broker-dealers and RIAs since 1990.



COMPARISON

OF OUR SERVICES

**Can your existing
support team
do all this?**

We're always happy to help. Call us for a confidential discussion of areas where you need assistance. We'll offer you a solution and quote based on fixed fee service, retainer, or hourly rate.

“I have worked with Dave for over 17 years now. Thru 8 startup companies varying from securities to art to drug & alcohol recovery. In EVERY case he has provided outstanding service advice and results on any task or project we have engaged in. As someone who is demanding like myself and very tentative to all the details working with Dave has been my pleasure as I have not only received top notch advice and service he has provided me great education along the way.”

—R Holub

SERVICES	RND
CPA FIRM	
Certified Audit	✓
IT SOLUTIONS	
Best Execution Services	✓
email Review	✓
OFAC	✓
OATS	✓
Custom Solutions	✓
BROKER DEALER FORMATION	
Tax Implication	✓
Structure	✓
PMI Attendance	✓
Turnkey	✓
Written Supervisory Procedure	✓
LITIGATION SUPPORT	
Customer Complaints	✓
Arbitration Assistance	✓
Legal Support	✓
FINOP	
In-House Web Based Accounting	✓
Portfolio Reconciliation	✓
Audit Assistance	✓
RIA	
Formation and Filing	✓
Compliance Program	✓
ANTI-MONEY LAUNDERING AUDIT	
Anti-Money Laundering	✓
Firm Element CE	✓
Annual Compliance meeting	✓



“Dave is very good at simplifying and explaining the complex world of equity trading, back office operations and clearing relationships to non-experts. I recommend him to anybody needing an expert in the securities arbitration area. In addition to his substantive knowledge, Dave gives good turnaround time and value to his clients.”

—D. Gelfarb

“Dave has been helping us with our FINRA Compliance and accounting services at a highly professional level from the time we formed our Broker Dealer. He and his firm are the only firm we’ve ever used and have never felt the need to look elsewhere. He is a pro.”

—R. Shor

An Independently Owned Member

MCGGLADREY ALLIANCE



McGladrey Alliance is a premier affiliation of independent accounting and consulting firms. McGladrey Alliance member firms are separate and independent businesses and legal entities that are responsible for their own acts and omissions, and each are separate and independent from RSM US LLP.



MAIN OFFICE
RND Resources, Inc.
21860 Burbank Blvd, Suite 150
Woodland Hills, CA 91367
Phone: 818-657-0288
Fax: 818-657-0299

Los Angeles | New York

FINRACOMPLIANCE.COM



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“RND Resources have been our compliance consultants for last 14 years. They have not only supported our annual compliance needs but over the years they have opened up branch offices, updated our WSP, initiated CMA's and guided us through 5 FINRA AUDITS. Dave Banerjee has been an invaluable asset to our firm and always responds in a timely manner regarding any compliance, legal or accounting issues that arise. They are invaluable resource that have largely contributed to the success of our company.”

—A. Johnson

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