

NOT YET REGISTERED?

Compliance for *new* firms

#1: RIA REGISTRATION

You lead the way, while we support you at critical points in your firm registration process.

Includes:

- Form ADV & U4 drafting and submission
- Creation of Client Agreements, Privacy Policy, & Compliance Manual
- Templates for your Business Continuity Plan, Data Security Manual, & Code of Ethics
- Templates for additional required state documents for firm registration
- DIY guide for ADV amendment filing
- Up to two hours of 1:1 consulting and support during the regulatory review (add'l support billed hourly)
- Weekly Compliance Drop-In hours

#2: ENHANCED RIA REGISTRATION

Our compliance experts lead the way, providing key document development and continuous support throughout your firm registration process.

Includes:

- Form ADV & U4 drafting and submission
- Creation of Client Agreements, Privacy Policy, and Compliance Manual
- Creation of tailored Business Continuity Plan, Data Security Manual, & Code of Ethics
- Creation of additional required state documents for firm registration
- ADV amendment filing within 30 days of firm approval
- Unlimited 1:1 consulting and support during the regulatory review
- Weekly Compliance Drop-In hours

#3: COMPLETE FIRST YEAR COMPLIANCE

We'll provide you with **comprehensive RIA registration service**, foundational compliance program development, and ongoing implementation support during your first year of launch.

Includes all benefits and services in Enhanced RIA Registration, in addition to:

- Unlimited 1:1 consulting and support throughout your first year
- Setup and training on Smart RIA for compliance task management
- Development and implementation of compliance program
- Support with build out of compliance processes and best practices
- Audit prep support and guidance
- First additional state registration or notice filing
- First additional IAR registration