



RIA Ongoing Compliance

All RIAs must demonstrate a culture of compliance to regulators, but few RIA owners have the time or expertise to manage the constantly changing regulations. **How good is your compliance support team?** AdvisorLaw provides integrated compliance and legal support for RIAs.



Our Compliance Services

AdvisorLaw's compliance team includes both securities attorneys and certified securities compliance professionals (CSCP). We stay ahead of SEC and state regulatory changes so you can focus on building your practice. If you have any questions — call us — our compliance services include a complimentary attorney consultation.

AdvisorLaw offers ongoing legal and compliance support for RIAs, including:



**Policy &
Procedure Reviews**



**Customized
Calendar**



**Ongoing Reviews
& Updates**



**Annual
Filings**

Ongoing Compliance

Our ongoing compliance provides a custom portal and calendar to make task management and reporting easy. Through advanced technology integration, we offer efficient automation and full control.

AdvisorLaw can help your RIA stay compliant with all current SEC and state regulations. We have clients in all 50 states, including Washington, D.C. and Puerto Rico.

AdvisorLaw Compliance Services include:

- updates to form ADV (all parts) & U4/U5 filings
 - review & amend RIA documents, such as:
 - written supervisory procedures
 - privacy policy
 - client advisory/solicitation agreements
 - information/cyber security policies
 - code of ethics
 - business continuity plan
 - ongoing advertising review
 - review of conflicts of interest & outside business activities
 - other-than-annual amendment filing
 - ERISA disclosures
 - billing review
 - random sample email, social media, & trade reviews
 - quarterly compliance meeting
 - assist with annual compliance review & risk assessment
 - interactive calendar & secure compliance portal
 - basic audit support
 - year-round attorney access
 - 24-hour call returns
 - best execution review
- Services may include:**
- outsourced CCO or CFO
 - onsite visits
 - contract drafting & review
 - vendor due diligence & review
 - review of data governance
 - regulatory inquiry responses
 - CFP/CFA review & defense
 - trade monitoring
 - private fund compliance & PPM
 - remediation plans
 - mock exams & full audit support



Let's Get Started


Why are we a better choice? AdvisorLaw has a robust regulatory enforcement defense and expungement practice. Annually, AdvisorLaw cases account for 80% of all regulatory expungements. We work daily with the repercussions of enforcement actions, and we know the best practices that keep regulators happy.

Reach out by giving us a call or by visiting our website for more information.

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AdvisorLaw®

PROTECTING YOUR LIVELIHOOD

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