



# RIA Ongoing Compliance

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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:**



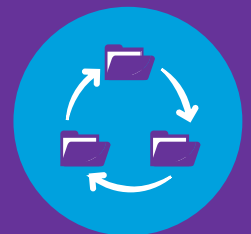
**Policy &  
Procedure Reviews**



**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
  - reviews & amendments 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, & PPP disclosures
  - 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
- 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
  - best execution review
  - 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, with a win rate of nearly 9 out of 10. 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.**

**Courtney Raymond**

Director of RIA Services

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# AdvisorLaw®

PROTECTING YOUR LIVELIHOOD

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