



AdvisorLaw®

RIA Solutions

Launching your own RIA firm gives you the autonomy and flexibility to truly create the business value that you desire. **Let's explore your independence.**

RIA Registration & Setup

AdvisorLaw offers custom setup and registration, as well as ongoing compliance services for registered investment advisor (RIA) firms. Our compliance teams include both attorneys and Certified Securities Compliance Professionals (CSCPs).



All RIAs are regulated by the states in which they conduct business, and some of those are also regulated by the SEC. While there are some exceptions, the guide below can help you begin to determine which registrations your RIA firm might need.

SEC Regulation

- You or your firm hold **\$100 million or higher** in assets under management (AUM).
- You or your firm is registered as multi-state & operates in **15 or more states**, regardless of AUM.
- You or your firm are advisors to investment companies, themselves.

State Regulation

- You or your firm manages **less than \$100 million** in AUM.
- Your RIA conducts business in the state (RIAs may be required to register in more than one state).



AdvisorLaw's compliance team leverages our extensive experience in the enforcement space to fully customize your RIA, in adherence to best practices. Our registration package takes your RIA firm from concept to fully-functioning business. **We suggest a 60- to 90-day lead time to set up your RIA before your launch date.**

AdvisorLaw services include:

- incorporation, including advice & business structure
- registration in primary & additional jurisdictions
- platform & custodial options
- IAPD & bank account setup
- management of IAR registration
- original drafting & review of all RIA documents including:
 - Form ADV (all parts) & U4/U5 filings
 - client advisory agreement
 - solicitation agreements
 - written supervisory procedures
 - privacy policy
 - information security & cyber security policies
 - code of ethics
 - business continuity plan
 - advertising, business cards, stationery, & websites
 - conflicts of interest & outside business activity disclosures

Ongoing Compliance

All RIAs must demonstrate a culture of compliance by regularly monitoring, reviewing, and documenting the RIA's activity and changes. We offer a broad range of help for CCOs, ranging from low-cost setup and training to full support. **Learn more about our compliance services.**




As an added service, we review noncompete/employment contracts and provide transition counseling. Transition counseling covers contract review and guidance for the resignation process, including how to move your clients to your new firm while staying within contractual commitments.

Let's get started

We're here for you throughout your RIA journey. Reach out by giving us a call or visiting our website for more information.

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AdvisorLaw[®]

PROTECTING YOUR LIVELIHOOD

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