

Comprehensive Guidance from Concept to Live

Leverage our experience in helping new and breakaway advisors establish their new RIA. Our seasoned consulting team can help you get your RIA off to the right start.

We tailor our Registration & Transition Services to meet the unique needs and situation of each advisor. Unlike the “big-box” compliance firms, we do not deliver a “one-size-fits-all” solution.

We employ a consultative service model that is designed to help you focus on the most important part of building or transitioning your advisory business – **YOUR CLIENTS**.

Our Unique Approach

RIA Registration Advantage™ is a comprehensive, turn-key solution that covers the core regulatory aspects of starting your RIA firm, including: SEC or state registration, compliance program design, client agreements, evaluation of business model, and CCO training.

The proactive approach we employ throughout your registration process ensures a streamlined timeline and compliance documents that accurately reflect your advisory business and will stand up to regulatory scrutiny post-registration.

Learn about your RIA

Our process begins with a business planning consultation where we help evaluate and plan your business model, including custodian and vendor selection.

Draft your Regulatory Filing

We prepare and submit your ADV Part 1A and Part 1B (for state registrants) and your ADV 2A. We also prepare your ADV 2B and U-4 for each IAR.

Liason with Regulators

After submission, we manage and respond to all comments from the regulators. We will also schedule or acquire exemption from Series 65/66 exams.

Design your Compliance Program

We provide you with a set of customized policies and procedures for your RIA, including supervisory procedures addressing applicable topics (such as trading or social media). To round out your program, During the approval process, we provide you with a set of customized policies and procedures specific to your advisory business. To round out your program, we prepare your firm’s privacy policy, code of

About AdvisorAssist

AdvisorAssist is a management consulting firm focused on serving investment advisory firms by providing expertise and resources in the areas of strategy, compliance, marketing and operations & technology. With a focus on **people, process and technology**, AdvisorAssist delivers actionable solutions to top investment advisors seeking to **build, grow, protect and optimize** their businesses.

Why AdvisorAssist?

Real-World Experience

We bring real-world entrepreneurial experience to our client relationships and provide guidance from initial setup to ongoing strategic, operational and regulatory support.

Breadth of Expertise

Our consultants are all former practitioners that have held leadership positions across all functional areas within the advisory firm.

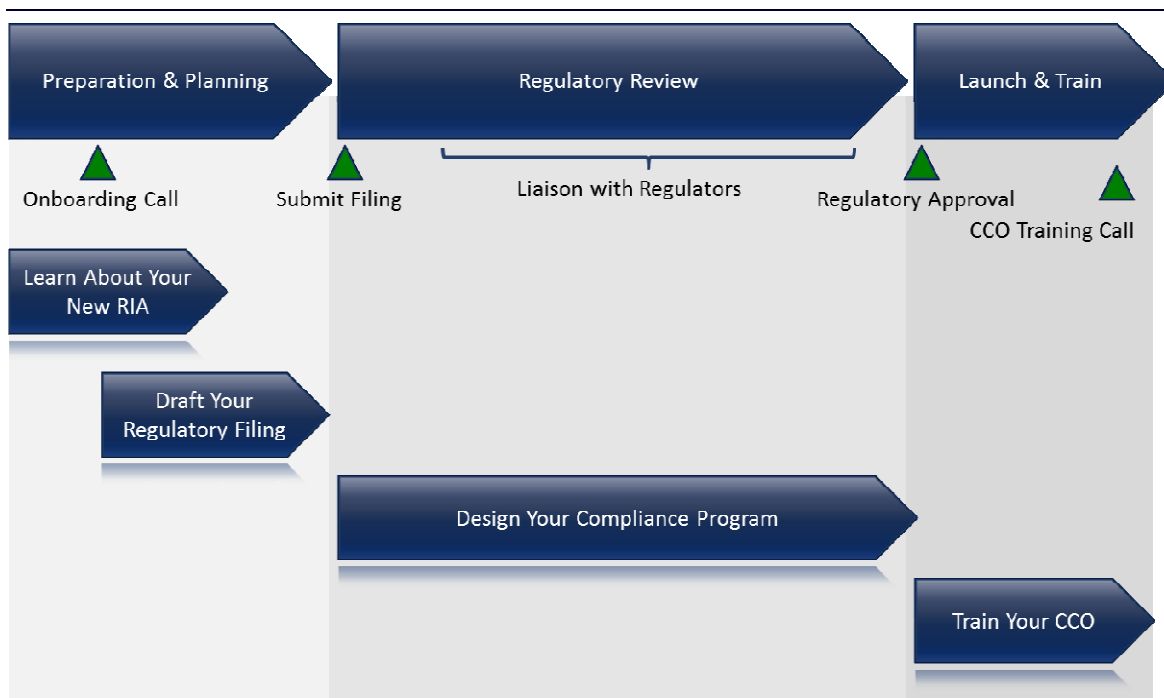


ethics, business continuity plan and advisory contracts that cover the regulatory requirements applicable to your firm. We also conduct a baseline review of all applicable advertising materials related to your advisory firm.

Train Your Chief Compliance Officer

Once your registration is complete, we provide training for your CCO on compliance responsibilities, workflow and best practices for your firm.

Registration Advantage™ Engagement Timeline



Additional Compliance Services

Compliance Essentials™. Ideal for firms that wish to supplement their internal compliance activities with our resources and expertise.

Compliance Advantage™ Ideal for firms seeking a more comprehensive partnership with experts to take a proactive approach to managing and implementing your compliance program.

Stay Connected.



We would welcome the opportunity to learn more about you. Please call us at 617.800.0388 or email us at info@advisorassist.com.



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