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Investment Adviser Registration Process

If you are considering registering as a registered investment adviser (RIA), RIA Compliance Group can guide you through every step of the registration process, prepare all required documentation, offer hands-on assistance in navigating complex regulatory issues and, in many cases, expedite the registration process.

Our extensive knowledge and expertise can often speed up your registration by avoiding common mistakes that could delay the regulatory review and approval process.

Our RIA registration process includes:

Initial Consultation. We Conduct one or more in-depth interviews with your firm's principals to discuss your firm's general business model, affiliations, outside business activities, potential conflicts of interest and investment adviser representative ("IAR") registration requirements. Once the necessary information is collected, we prepare a draft of your firm's necessary application forms and provide guidance regarding the registration process and requirements.

Entitlement Form Preparation. We prepare your FINRA Entitlement Application and give you detailed instructions on forwarding the application to FINRA to set up your RIA's Web CRD/IARD Account.

IARD Service Desk. Once your firm's Web CRD/IARD account is set up, we act as your firm's IARD service desk and electronically file the RIA application documents on behalf of your firm. During this process, we can also provide IARD system usage training for your firm's in-house operations and compliance staff.

IARD Funding. We calculate the amount necessary to complete the necessary RIA and IAR registrations and provide you detailed instructions on funding your firm's CRD/IARD account.

Form ADV Preparation. Based on information provided to us during the initial consultation, we prepare your firm's Form ADV Part 1A, Part 2A, Part 2B, Schedule A, Schedule B and Schedule D.

RIA Registration Submission (Firm). Once you have reviewed and approved your firm's application forms, we submit the registration documents onto the IARD system along with all SEC notice filing and

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State registration requests. We monitor your registration status on a daily basis and contact the examiner reviewing the filing on a regular basis to follow up on the status of your application and help respond to any questions or comments the examiners may have about the application.

IAR Registration Submission (Individuals). Once your firm's registration request has been submitted onto the [IARD system](#), we prepare your IARs' Form U-4, verify the accuracy of Form U4 disclosures, confirm their consistency with Form ADV disclosures and submit your individual registration request(s) with all applicable regulators via the [CRD System](#).

Exam Windows. When necessary, we assist your IARs in opening the Series 65 or Series 66 exam windows and help them schedule for the exams. IARs who have a professional designation such as the CFP[®], CFA, ChFC, CIC and PFS are generally exempt from these exam requirements.

Sample Agreements. Some jurisdictions require the review of an applicant's agreements as part of the initial registration process. Although RIA Compliance Group is not a law firm, and cannot draft agreements for you. We can provide template agreements that can be easily customized to satisfy the States' regulatory requirements.

Additional Documents. Some jurisdictions require additional documents (dual registration forms, branch office registration forms, attestations of the accuracy of the balance sheet, etc.) to complete the application process. RIA Compliance Group provides these forms free of charge.

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