



RIA REGISTRATION & STRATEGIC ADVISORY SERVICES

Strategic Guidance.
Efficient Registration.
Scalable Compliance
Infrastructure.

Helping independent advisory firms build scalable, defensible, and operationally sophisticated businesses.

A black and white photograph of a business meeting. Several hands are visible, some holding pens, and a laptop keyboard is partially visible. The scene is set on a wooden desk with papers and a folder.

STATE OR SEC?

Determining whether your firm should register with the SEC or state regulators is one of the first major decisions in the registration process — and it can quickly become complicated depending on your business model, growth strategy, locations, and client base.

Generally:

- Firms with less than \$100 million in regulatory assets under management register with state securities regulators
- Firms expecting to exceed \$100 million in assets shortly after launch may qualify for SEC registration
- Firms operating in multiple states may qualify for SEC registration under certain exemptions
- Internet advisers and certain specialized advisory businesses may also register with the SEC

In addition to determining where to register, firms must evaluate:

- Where clients and advisors are located
- Whether notice filings are required
- Licensing obligations for investment adviser representatives
- Marketing and solicitation activities
- Supervisory obligations across multiple jurisdictions
- Remote and seasonal work locations

Our team helps firms navigate these decisions strategically so that registration structure aligns with long-term business growth and operational goals.



WHERE DO I START?

Launching or expanding an RIA requires significantly more than filing paperwork. Firms must build operational, compliance, supervisory, and legal infrastructure that can withstand regulatory scrutiny from day one.

Our team works alongside advisory firms to streamline the registration process while building a strong compliance foundation designed to support long-term growth.

THE RIA REGISTRATION PROCESS

The registration process requires coordination across regulatory filings, compliance infrastructure, supervisory systems, legal documentation, and operational planning.

Our team assists firms with:

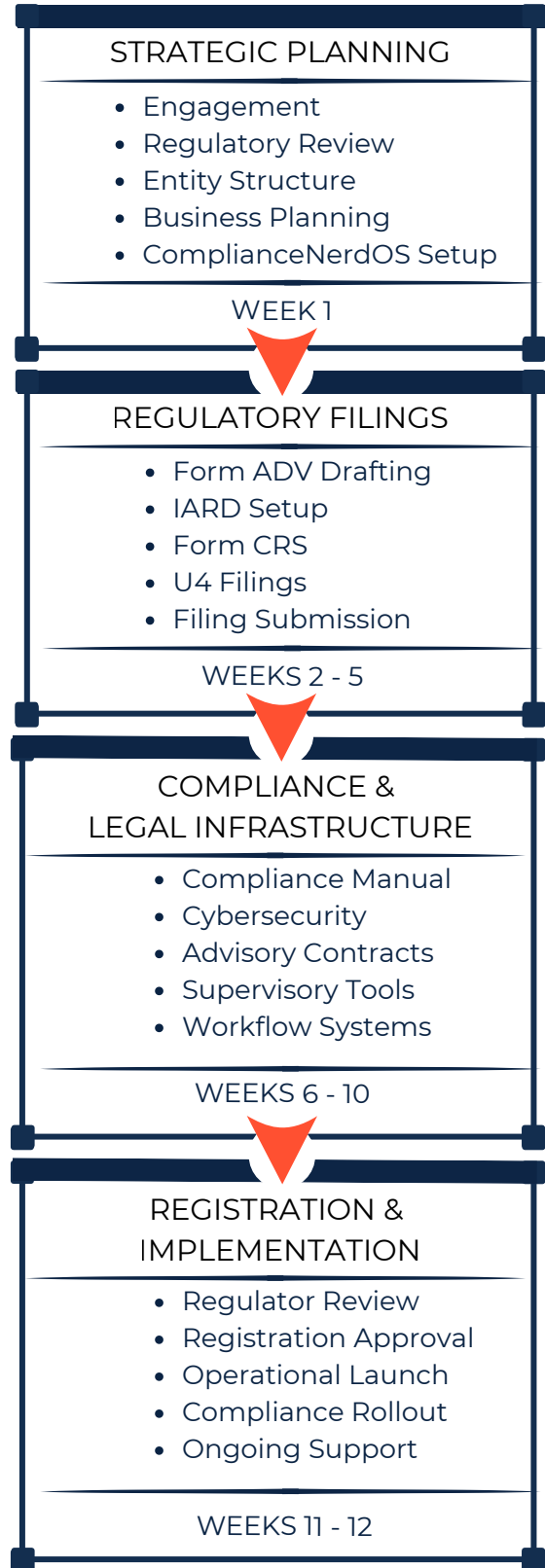
- Form ADV Preparation & Filing
- Form CRS Preparation
- IARD & FINRA Filings
- Investment Adviser Representative Registrations
- Compliance Manual Development
- Cybersecurity & Privacy Policies
- Business Continuity Planning
- Client Agreement Drafting
- Books & Records Frameworks
- Regulatory Communications & Responses

We tailor the registration process to your specific business model, operational structure, service offerings, and growth objectives.

RIA REGISTRATION & IMPLEMENTATION PROCESS

Unlike traditional registration providers, our team focuses on building scalable operational and compliance infrastructure — not simply filing paperwork.

We help firms establish supervisory systems, legal frameworks, compliance workflows, and operational processes designed to support long-term growth and regulatory readiness.



“
My RIA Lawyer provided the legal and compliance infrastructure our firm needed to launch with confidence. Their team delivered sophisticated guidance, responsive support, and operational clarity throughout the registration process.
”

Eric Gomez
Founder | Independent RIA

“
Leila and her team became an invaluable strategic resource during our registration and operational transition. Their legal insight and practical guidance helped us navigate a highly complex process efficiently.
”

Nicholas Chiricosta
Founder | Independent RIA

“
My RIA Lawyer has been one of the best investments our firm has made. Their team understands the complexity of our business and has helped us build a stronger compliance infrastructure with confidence.
”

Nicole Mehofer
COO & Managing Partner |
Independent RIA



BUILDING A SCALABLE COMPLIANCE INFRASTRUCTURE

Many firms launching or expanding an RIA are simultaneously managing:

- adviser transitions,
- operational growth,
- staffing decisions,
- technology implementation,
- vendor oversight,
- and evolving fiduciary obligations.

Our goal is not simply to help firms become registered — it is to help them establish scalable infrastructure that supports sustainable growth and operational efficiency.

Through our proprietary compliance technology **ComplianceNerdOS**, firms gain access to technology-driven compliance workflows, operational oversight tools, reporting systems, supervisory documentation, and centralized recordkeeping solutions. This allows firms to implement institutional-quality compliance systems without building an extensive internal compliance department.

WHAT HAPPENS AFTER REGISTRATION?

Registration is only the beginning. As firms grow, they face increasing obligations related to:

- supervision,
- books and records,
- marketing oversight,
- cybersecurity,
- employee compliance,

- branch office supervision,
- vendor management,
- and SEC examination readiness.

Our ongoing support services help firms strengthen operational controls while reducing regulatory risk.

Clients may receive:

- ongoing compliance consulting,
- outsourced CCO support,
- compliance testing,
- annual reviews,
- regulatory filing assistance,
- marketing reviews,
- operational consulting,
- and strategic legal guidance.

READY TO STRENGTHEN YOUR COMPLIANCE INFRASTRUCTURE?

Whether your firm is launching a new RIA, expanding operations, preparing for growth, or strengthening supervisory systems, our legal and compliance team is here to help.

Schedule a strategy call with My RIA Lawyer to discuss your firm's regulatory obligations, operational challenges, and long-term growth objectives.

REPRESENTATIVE CLIENT EXPERIENCE

- \$2.7 Billion RIA — Outsourced CCO Services
- \$1.5 Billion Hybrid RIA — Legal & Arbitration Support
- \$1 Billion Independent RIA — Compliance Consulting
- Multi-State RIA Group — Operational & Compliance Infrastructure Support

WHY FIRMS WORK WITH US

- Deep focus on RIAs and financial services firms
- Legal + operational + compliance perspective
- Technology-enabled compliance infrastructure
- Experience supporting multi-state and billion-dollar RIAs
- Strategic guidance beyond registration filings
- Ongoing support as firms scale and evolve