

DON'T REGISTER YOUR RIA
WITHOUT THIS CHECKLIST!



Business Set Up

- Determine fee structure
- Determine office location and sign lease
- Buy business liability insurance
- Buy errors and omissions insurance
- Buy cybersecurity insurance
- Establish relationship with custodian

**“ We Help Firms Navigate The Legal
Complexities Of The RIA World”**

Financial

- Open business operating account •
- Apply for business credit card • Create
- budget for business • Create business
- plan • Engage book keeper/accountant

Figure It Out

- Determine your financial goals
- Determine your personal goals
- Determine your professional goals



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Technology

- Purchase portfolio management, account aggregation, rebalancing and risk tolerance software
- Register domain and set up email
- Setup social media accounts (Facebook, LinkedIn, Twitter, etc.)
- Purchase server or acquire account on a cloud-based provider
- Purchase printers, computers and telephones
- Determine software purchases
 1. Client relationship management (CRM)
 2. Email newsletter management
 3. Financial planning
 4. Electronic data back-up
 5. Graphic design software for marketing
 6. Appointment scheduling

Legal

- Determine business structure/entity
- Register entity with Secretary of State
- File for federal EIN • File for state EIN (if applicable)
- Apply for local business license
- Conduct trademark search
- Prepare legal disclosures for website



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Register Firm

- Complete Form SAA (Super Account Administrator) to get IARD login credentials.
- Log in to IARD and complete Form ADV Parts 1A and 1B (if state registered)
- Prepare Form ADV Parts 2A and 2B and submit online through IARD
- Fund IARD account to pay for Form ADV filings
- Interface with regulators to complete registration process
- File Form U-4 for each investment adviser representative
- Request and complete licensing exams
- Hire legal provider to prepare firm compliance and legal documentation



- Prepare investment management agreement
- Prepare solicitor agreement
- Prepare investment policy statement
- Prepare suitability form
- Prepare Compliance Manual
- Prepare Business Continuity Plan
- Prepare Cybersecurity Policy
- Prepare Code of Ethics

- Establish compliance files for your business

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Human Resources

- Prepare employment or independent contractor contracts
- Setup payroll
- Establish designated HR representative or utilize outsourced HR provider
- Setup health plans and retirement planning benefits

Feeling Overwhelmed?

Don't you wish you could give this work to someone you trust to make
sure it is done right?

Call us at (770) 462-2118 to schedule your FREE consultation.



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RIA COMPLIANCE & SECURITIES LAWYER

Empowering financial advisors and firms to
conquer the legal challenges of the RIA universe.

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44 Milton Ave #314
Alpharetta, GA
[770-462-2118](tel:770-462-2118)

www.myrialawyer.com