

## Starting Your Own RIA Firm

**It is easier than ever to start your own independent registered investment advisory (RIA) firm. The RIA segment is the fastest growing channel in the investment management industry, and for good reason. The benefits of creating your own RIA include:**

### Aignment with Your Client:

**Putting your clients' best interests first is a better business.**

Clients and investment professionals alike have recognized that the traditional broker-deal commission model is a dying business. Instead of forcing a client into investments and transactions that are meant to generate the highest fees rather than the highest returns, the fiduciary responsibility that the RIA model offers is directly advantageous to the client. As a fiduciary, you have a fundamental, ongoing responsibility to act in your clients' best interests whereas a traditional broker only is required to recommend an investment that is suitable for a client at a given moment. Suitable does not suggest that it's the best investment for the client. Thus, as clients continue to become better educated on the significant differences between the fiduciary and traditional suitability model, it's no surprise that clients and advisors have a strong preference towards the RIA model. Today's best advisors generate returns for clients and themselves at the same time

### Evolution of the RIA Industry:

**The infrastructure is in place.**

Today, the RIA industry remains a nascent niche within the massive investment management world; yet the constant, rapid evolution of the ecosystem supporting independent RIAs is remarkable. To start, companies like ours help you streamline the initial registration process. Once registered, there are a growing number of custodians with dedicated RIA practices

that provide more and more services to an RIA at a tremendous value. Additionally, there are hundreds of other vendors providing RIA specific websites, E&O insurance, financial planning, customer relationship management tools, and other valueadd services. This group of custodians and other service providers caters to all segments of the market allowing large and even the smallest RIAs to run a more efficient, profitable business. With all these resources, you can replicate the support services of a larger institution, but enjoy the financial and personal freedom of your own independent organization.

### Democratization of Entrepreneurship:

**It's a good time to start your own company.**

We take many things for granted in today's world, but it wasn't long ago when starting a business was an arduous process. The prevalence of the internet, email, and affordable software applications have changed this dynamic dramatically, empowering aspiring entrepreneurs to do things no small business owner could have dreamed of twenty years ago. This democratization of knowledge and technology means that starting and managing a small business is now more economical and efficient than ever.

### Control of Your Own Destiny:

**You will have full independence.**

Until you have your own RIA and are able to make your own decisions, you will not have true independence. While elements of operating your own business are certainly intimidating, over 25,000 other RIAs have already made

that leap. Besides the monetary benefits, operating you own business and being fully independent brings immense psychological rewards. The RIA segment is the new frontier of the investment management industry and it

offers a tremendous opportunity to take control of your own destiny. In an era when larger financial institutions are losing public trust and shrinking in size, this destiny matters.

### Compliance and Compliance Support:

**It's less complicated than you may think.**

A common misperception exists that the compliance requirements are extremely daunting when you're operating your own RIA. In fact, due to the frequent inherent conflicts of interest of the commissionbased model, broker-dealer compliance can be incredibly burdensome. As an RIA you have shed that inherent conflict of interest by agreeing to always put your clients' best interests first, and the regulatory authorities recognize that. Therefore, RIA compliance requirements are generally much less time consuming and arduous. We also offer cost-efficient ongoing compliance support that will fit your needs and bolster the capabilities your Chief Compliance Officer. Having control over your own compliance also allows you to handle situations directly, rather than be beholden to an employer who may not act in your, or your clients', best interests.

*RIA in a Box is a leading provider of registration and compliance services to registered investment adviser firms. We enable fellow entrepreneurs to establish their own RIA firms and remain in constant compliance with regulatory guidelines by pairing our team of former regulators with cutting-edge compliance software.*