

Emerging Advisors Forum

FREE EVENT – OPEN TO PUBLIC



-HOW TO FORM YOUR OWN RIA-

Definition of 'Registered Investment Advisor – RIA'

An advisor or firm engaged in the investment advisory business and registered either with the Securities and Exchange Commission (SEC) or state securities authorities. A Registered Investment Advisor is defined by The Investment Advisers Act of 1940 as a “person or firm that, for compensation, is engaged in the act of providing advice, making recommendations, issuing reports or furnishing analyses on securities, either directly or through publications.” An investment advisor has a fiduciary duty to his or her clients, which means that he or she has a fundamental obligation to provide suitable investment advice and always act in the clients’ best interests.


Date/Time: 5:30 p.m. – Wednesday, April 24, 2013

**101 Montgomery Street, Suite 600
San Francisco, CA 94104**

Join our Yahoo! Group
http://finance.groups.yahoo.com/group/Emerging_Advisors_Forum/

For those who cannot attend in person:

RSVP Required => Please visit
<http://aprileaf2013.eventbrite.com/>

 **Conference Call In Number: 712.451.6055 / Access code: 262069**

Location:

<http://goo.gl/maps/naOw0>

Memo:

The Emerging Advisor Forum is pleased to present an informative and educational session to learn about the requirements, procedure and costs to develop your own California or SEC Registered Investment Advisory Firm.

Guest Speaker:

J. Niel Armstrong Gordian Compliance Solutions, LLC. 235 Montgomery Street, Suite 460 San Francisco, CA 94104	Office: 415.762.2848 Mobile: 415.310.6261 Fax: 415.970.5062	Email: compliance@gordiancompliance.com	Website: www.gordiancompliance.com
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AGENDA:

1. Requirements
2. Process and Timetable
3. Why are Advisors developing their own RIA firms
4. Differences between FINRA Broker-Dealer Compliance vs. RIA Compliance
5. Costs
6. Best Practices

