

RIA Compliance Consultants



Standard of Conduct

Strategic Alliance Members



Bridge Financial Technology

Automation-focused software designed to streamline back office functions.



Unitifi

Modern solution for financial professionals to fulfill their fiduciary responsibility to know and understand their client.



Lockton Affinity, LLC

Insurance Solutions for member based organizations.

The determination to use the services or products of a Strategic Alliance member is an important decision and should not be based solely upon a member's participation in our Strategic Alliance Program. RIA Compliance Consultants is not affiliated with these Strategic Alliance members, does not control or supervise the services or products of the Strategic Alliance member and reference to these Strategic Alliance members does not mean that RIA Compliance Consultants has performed any level of due diligence on the Strategic Alliance member's services or products. As with any service provider, clients are urged to perform their own due diligence on the Strategic Alliance members listed on this page. Each registered investment adviser should perform its own independent investigation and evaluation to make sure that the Strategic Alliance member is the best fit for its firm.

2021 RIA Compliance Connection

Presentation Disclosures

- Although the sponsor of this presentation, RIA Compliance Consultants, Inc. (“Sponsor”), is an affiliate of a law firm and Sponsor may have an individual on its staff that is also licensed as an attorney providing legal services in a completely separate capacity, Sponsor is **not** a law firm and does **not** provide legal services or legal advice. A consulting relationship with Sponsor does not provide the same protections as an attorney-client relationship.
- This presentation is offered for educational purposes only and should not be considered an engagement with Presenter or Sponsor. This presentation should not be considered a comprehensive review or analysis of the topics discussed today. These materials are not a substitute for consulting with an attorney or compliance consultant in a one-on-one context whereby all the facts of your situation can be considered in their entirety.
- Despite efforts to be accurate and current, this presentation may contain out-of-date information. Additionally, Presenter and Sponsor will not be under an obligation to advise you of any subsequent changes.
- Information provided during this presentation is provided "as is" without warranty of any kind, either express or implied, including, without limitation, warranties and merchantability, fitness for a particular purpose, or non-infringement. Presenter and Sponsor assume no liability or responsibility for any errors or omissions in the content of the presentation.



2021 RIA Compliance Connection

Presentation Disclosures

- Information provided during this presentation relates solely to the Investment Advisers Act of 1940 and the rules thereunder and, at times, we may reference similar state securities rules and regulations specific to registration as an investment adviser. Certain circumstances or arrangements you may have may warrant you to consider other regulations that may apply including, but not limited to: the Investment Company Act of 1940; the Securities Act of 1933; the Securities Exchange Act of 1934; ERISA and other Department of Labor regulations; federal or state laws and regulations and self-regulatory (e.g., FINRA) rules for broker-dealers and registered representatives/securities agents of broker-dealers; and state insurance rules and regulations. The Sponsor of this presentation does not provide any advice or consulting services outside the scope of the Investment Advisers Act of 1940 or similar investment adviser state securities rules and regulations. If you need advice regarding any other rules or regulations, the Sponsor recommends that you consult with an attorney or consultant that specializes in those specific rules or regulations.
- There is no guarantee or promise that concepts, opinions and/or recommendations discussed will be favorably received by any particular court, arbitration panel or securities regulator or result in a certain outcome.
- To the extent that you provide RCC with your email address, it will be added to RCC's electronic newsletter mailing list regarding compliance issues for investment advisers. You may opt out at any time by calling RCC at 877-345-4034 or clicking at any time the "unsubscribe" link on the electronic newsletter.
- Communication with today's webinar presenter is not protected by attorney-client privilege. Please keep questions during this seminar in a hypothetical form. This seminar session and/or the presentation materials may be recorded, copied and/or shared with third parties and/or posted to our public website.

Agenda

Definition of Standard of Conduct

- Duty of Care
- Duty of Loyalty

Form CRS

- Exam Deficiencies

Retirement Plan Rollover Recommendations



www.ria-compliance-consultants.com

2021 RIA Compliance Connection

Standard of Conduct



www.ria-compliance-consultants.com

2021 RIA Compliance Connection

Resources

Strategic Alliance Members



Bridge Financial Technology

Automation-focused software designed to streamline back office functions.



Unitifi

Modern solution for financial professionals to fulfill their fiduciary responsibility to know and understand their client.



Lockton Affinity, LLC

Insurance Solutions for member based organizations.

The determination to use the services or products of a Strategic Alliance member is an important decision and should not be based solely upon a member's participation in our Strategic Alliance Program. RIA Compliance Consultants is not affiliated with these Strategic Alliance members, does not control or supervise the services or products of the Strategic Alliance member and reference to these Strategic Alliance members does not mean that RIA Compliance Consultants has performed any level of due diligence on the Strategic Alliance member's services or products. As with any service provider, clients are urged to perform their own due diligence on the Strategic Alliance members listed on this page. Each registered investment adviser should perform its own independent investigation and evaluation to make sure that the Strategic Alliance member is the best fit for its firm.

Connect With Us

www.ria-compliance-consultants.com

www.Facebook.com/riacompliance

www.YouTube.com/riacompliance

www.linkedin.com/company/ria-compliance-consultants-inc