



NEW FIRMS | COMPLIANCE & KITS

# Control or Convenience?

Starting an RIA is one of the most exciting steps in your career, but navigating the RIA launching landscape can feel overwhelming. Between understanding and fulfilling compliance requirements, operational setup, technology decisions, and business development, there's a lot on your plate as a new entrepreneur. That's where we come in—to give you back precious time and mental energy so you can focus on what drives you, not what drains you.

Whether you're looking for a comprehensive, done-for-you launch experience or prefer to customize your compliance support while handling other aspects of starting your RIA yourself, we've designed clear paths to help you launch with confidence.



## Compliance for New Firms

For firms that feel comfortable with operations, technology, and marketing but want to tailor their compliance support framework to their specific needs.

### RIA REGISTRATION | \$3,500

When you choose RIA Registration, our compliance experts will lead the way, solving registration complexities for you and supporting you at critical points in your firm registration process up until approval.

### STANDARD COMPLIANCE FOUNDATIONS | \$6,150

When you choose Standard Compliance Foundations, our compliance experts will lead the way with structured training and support over your first year to establish systems that support your ongoing compliance management, in addition to the registration of your firm.

*\*Includes RIA Registration*

### ENHANCED COMPLIANCE FOUNDATIONS | \$10,250

Through Enhanced Compliance Foundations, in addition to the registration of your firm and structured compliance training, our compliance experts will lead the way with greater flexibility in ad-hoc compliance support, such as additional State or SEC registrations, adding or removing IARs, and discussing general compliance questions, in addition to developing your firm's compliance program.

*\*Includes RIA Registration & Standard Compliance Foundations*



## Launch Kits

For those who want a full-service experience that takes the stress out of back-office setup, compliance, and business operations, so you can fast-track your success.

### ESSENTIAL KIT | \$3,425

When you choose the Essential Kit, our experts will handle your RIA registration and bookkeeping setup, giving you the foundation you need to launch your firm efficiently.

*\*Includes RIA Registration*

### POWER KIT | \$10,033

**MOST POPULAR!**

When you choose the Power Kit, our team will guide you through comprehensive compliance foundations and operational setup, ensuring you're equipped with the systems and knowledge to serve clients confidently from day one.

*\*Includes RIA Registration and Standard Compliance Foundations*

### PLATINUM KIT | \$15,059

Choose the Platinum Kit and our experts will provide the most comprehensive support available, handling enhanced compliance foundations as well as personalized coaching to ensure your firm launches with maximum confidence and minimal stress.

*\*Includes Enhanced Compliance Foundations*

No matter the path, XYPN provides expert guidance to ensure your firm is compliant, confident, and built to thrive from day one.

*\*To utilize XYPN for any of these options, you must sign a 12-month Member Agreement. Kits can be paid by credit card.*

### FIND YOUR FIT

Not sure which Tool Kit is right for your RIA? Find your fit with this 3-minute quiz!

[Find your fit →](#)





	RIA Registration \$3,500	Essential Kit \$3,425	Standard Compliance Foundations \$6,150	<b>MOST POPULAR</b> Power Kit \$10,033	Enhanced Compliance Foundations \$10,250	Platinum Kit \$15,059
RIA Registration	✓	✓	✓	✓	✓	✓
Guided CCO Compliance Training			✓	✓	✓	✓
Ad Hoc Email Support After Registration			✓	✓	✓	✓
Smartria Setup and Training			✓	✓	✓	✓
Compliance Program Development			✓	✓	✓	✓
Form ADV & Client Agreement Updates			✓	✓	✓	✓
Audit Prep Support and Guidance			✓	✓	✓	✓
Additional / Ad-hoc Consulting Calls					✓	✓
Additional State and IAR Registrations					✓	✓
Maintaining Custody Over Client Assets*					✓	✓
Advisors to Private Funds*					✓	✓
Receipt of Performance-Based Fees*					✓	✓
Investment Performance Advertising*					✓	✓
Books Set Up & QuickBooks Discount		✓		✓		✓
Exclusive Swag		✓		✓		✓
Kick-Start Tech Setup				✓		✓
Marketing / Branding Group Coaching				✓		✓
Two 1-on-1 Coaching Calls						✓

\*A complexity fee, billed monthly, may apply for ongoing support

### ▶ GET STARTED

Prefer to join an RIA and bypass the back office and compliance complications, choose Sapphire! Connect with a Success Strategist today.

I'm ready! →