

RIA Compliance Technology Launches Automated Text Message Archiving to Help Investment Advisors Stay SEC-Compliant

Amid a crackdown on off-channel communications, this all-in-one solution helps RIAs avoid recordkeeping fines and regain control of mobile messaging.

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2025 /EINPresswire.com/ -- With the

SEC and FINRA intensifying

enforcement around off-channel

communications, Registered

Investment Advisors (RIAs) are under

pressure to archive business-related

text messages or risk multimillion-

dollar fines, failed audits, and reputational damage. RIA Compliance Technology is stepping up

with an advanced text message archiving solution purpose-built for RIAs to comply with SEC Rule

204-2 and modern communication challenges.



“

Text messaging is
convenient, but
noncompliant.”

*Blake Bjordahl, President of
RIA Compliance Technology*

The \$1.4 Billion Wake-Up Call for RIAs

In the past two years, the SEC has fined Wall Street firms more than \$1.4 billion for improper recordkeeping related to text messages and other off-channel communications. In one recent wave, 26 firms were ordered to pay \$393

million in penalties for failing to monitor and archive employee messaging on personal devices and unauthorized platforms like WhatsApp and iMessage.

The Hidden Dangers of Off-Channel Messaging

Despite clear SEC guidance, many RIAs still rely on manual processes or fragmented tools that leave dangerous gaps in their communication oversight. Common challenges include:

- Scattered Communications: Business-related texts sent via SMS, iMessage, and WhatsApp on both personal and company devices

- Manual Collection: Exporting or saving messages manually is slow, incomplete, and often noncompliant

- Policy Enforcement Issues: Supervisors struggle to ensure employees follow firm communication protocols

- Audit Panic: Inability to quickly produce records during exams increases the risk of enforcement action



Archive Texts or Risk Fines

A Turnkey Solution for SEC-Compliant Archiving

[RIA Compliance Technology's SMS Archiving Solution](#) is a centralized, secure, and automated platform that captures and stores all relevant communications across devices and platforms, including WhatsApp, iPhones, Android, and more.

Key features include:

- Cross-Channel Coverage: Archive SMS, iMessages, WhatsApp, email, and social posts in one secure portal

- Automated Capture: Eliminate manual errors with real-time, tamper-proof archiving

- Regulatory Alignment: Fully compliant with SEC Rule 204-2 and FINRA guidelines

- Audit-Ready Search & Retrieval: Easily locate and export messages on demand

- Data Security & Privacy: Cloud-based encryption protects sensitive data while maintaining employee boundaries

"Firms that fail to archive these communications put themselves at enormous regulatory and reputational risk. Our platform fixes that," added Bjordahl.

Built for RIAs of All Sizes

Whether you're a boutique advisory or a multi-state operation, the platform scales with your business. RIAs can eliminate administrative overhead, reduce risk exposure, and stay focused on what matters most: client relationships and business growth.

Unlike costly legal or compliance consultants, RIA Compliance Technology delivers an efficient, affordable solution with enterprise-grade protection, without the enterprise-grade price tag.

What's at Stake?

Failure to comply with SEC messaging retention rules doesn't just invite fines, it also damages client trust. In today's competitive advisory landscape, RIAs must prove they take compliance seriously. RIA Compliance Technology's SMS archiving solution ensures you're always audit-ready, secure, and in complete regulatory alignment.

Schedule Your Demo Today

Stop scrambling for screenshots and manual exports. Discover how RIA Compliance Technology can future-proof your firm's text message archiving. Visit <https://riacomptech.com/simple-email-archive/> to book your free demo.

About RIA Compliance Technology

RIA Compliance Technology provides purpose-built compliance solutions for registered investment advisors. The company's automation platform helps RIAs navigate complex regulatory requirements while reducing administrative burden and enabling marketing innovation.

For more information about RIA Compliance Technology or to schedule a demonstration of how our services can make compliance easier, [visit riacomptech.com](https://riacomptech.com).

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