

RIA Compliance Technology Highlights Importance of Annual Compliance Reviews Ahead of 2025 Year-End

Centralized compliance technology helps RIAs manage annual reviews with accuracy and confidence.

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EINPresswire.com/ -- As year-end approaches, Registered Investment Advisors (RIAs) across the United States are preparing to complete annual compliance reviews. This is an essential regulatory requirement that continues to draw scrutiny from regulators amid rising expectations for documentation, oversight, and internal controls.



RIA Compliance Technology, a compliance automation platform serving small and mid-sized RIAs nationwide, is encouraging firms to approach annual compliance reviews as a structured risk-management process rather than a year-end administrative exercise.

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Technology doesn't replace compliance judgment. It creates structure and accountability, allowing firms to focus on evaluating risk and strengthening compliance programs rather than tracking tasks.”

Blake Bjordahl, President

Annual compliance reviews are intended to assess the effectiveness of an RIA's policies and procedures, yet many firms—particularly those without dedicated compliance staff—continue to rely on manual tracking methods, spreadsheets, or disconnected systems. These approaches can increase the risk of missed deadlines, incomplete documentation, and difficulty demonstrating compliance during regulatory examinations.

RIA Compliance Technology supports RIAs by providing a centralized compliance platform that consolidates tasks, records, and deadlines into a single system. An automated compliance calendar helps firms track recurring obligations, filings, and review activities, reducing reliance on

manual reminders and institutional memory.

For many firms, compliance responsibilities are handled by operations or administrative staff already balancing multiple roles. As regulatory requirements expand, the cumulative burden of manual compliance processes can divert time from client service and strategic initiatives, particularly during year-end reporting periods.

“Annual reviews are often where gaps become visible,” said Blake Bjordahl, President of RIA Compliance Technology. “Without centralized visibility, it can be challenging for firms to confirm that required tasks were completed consistently and documented appropriately.”

RIA Compliance Technology recently published an [RIA Year-End Compliance Checklist](#) outlining recommended best practices for annual reviews. These include reviewing and updating policies and procedures, confirming regulatory filings, documenting compliance activities, and ensuring records are properly retained. When supported by centralized technology, these practices become easier to execute consistently year after year.

With regulators continuing to emphasize documentation, oversight, and internal controls, RIA Compliance Technology advises firms to view year-end compliance reviews as an opportunity to reinforce governance and enter the new year with greater operational confidence.

About RIA Compliance Technology

RIA Compliance Technology is a compliance automation platform designed to support small and mid-sized Registered Investment Advisors across the United States. Based in the Phoenix, Arizona area, the company provides tools and services that help RIAs centralize compliance management, track regulatory deadlines, reduce manual workload, and maintain audit-ready documentation.

RIA Compliance Technology has been named to InvestmentNews’ 2025 “Best Compliance Software Solutions” list and was recognized in The Kitces Report 2025 for advisor satisfaction and industry leadership. The platform combines practical automation with compliance expertise to help firms navigate an increasingly complex regulatory environment.

For more information, visit <https://www.riacomptech.com>

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