

# Compliance Experts Call for Process-Driven SEC Form ADV Compliance to Reduce Reconciliation Risk

*Structured change tracking can reduce version confusion and improve SEC Form ADV defensibility.*

PHOENIX, AZ, UNITED STATES, February 24, 2026 /EINPresswire.com/ -- As Registered Investment Advisors and smaller advisory firms prepare for upcoming disclosure cycles, compliance professionals are urging a shift away from viewing SEC Form ADV filings as once-a-year administrative events. Industry observers note that

when firms rely on year-end reconstruction rather than continuous documentation controls, inconsistencies and reconciliation challenges become more likely.

SEC Form ADV remains one of the most scrutinized disclosure documents in the advisory

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Compliance shouldn't feel like a seasonal scramble. When updates are tracked throughout the year in a structured system, annual filing is a validation exercise instead of a reconstruction project.”

*Blake Bjordahl, President*

industry, serving as a foundational record of a firm's ownership structure, services, fee arrangements, conflicts of interest, and disciplinary history. Annual amendments, along with interim updates for material changes, are central to regulatory transparency and are frequently reviewed during examinations.

For solo RIAs and firms without dedicated compliance departments, maintaining consistency across these disclosures can be particularly challenging. Many rely on spreadsheets, email threads, or multiple working drafts to coordinate updates throughout the year. Over time, this

informal approach can create version confusion and reconciliation mismatches between ADV Parts 1 and 2, marketing language, and internal records.



Industry observers indicate that Form ADV inaccuracies often reflect breakdowns in change tracking and documentation visibility rather than misunderstandings of regulatory requirements.

Blake Bjordahl, President of RIA Compliance Technology, says the issue is less about regulatory interpretation and more about operational structure.

“In smaller firms, the chief compliance officer is often also the owner, advisor, and operations lead,” Bjordahl said. “When documentation updates are scattered across emails or draft files, it becomes difficult to maintain consistency. By the time annual filing season arrives, firms are reconstructing changes instead of validating them.”

Regulators increasingly assess not only the content of Form ADV disclosures but also the controls supporting them. Examination priorities frequently reference books and records, disclosure consistency, and supervisory procedures. Even minor discrepancies, particularly if repeated across filings or marketing materials, can prompt additional scrutiny.

For solo and small RIAs operating with lean teams, the operational burden of reconciliation can intensify during annual amendment season. Without structured workflows, firms may spend significant time cross-checking sections, comparing prior versions, and confirming that material changes have been reflected consistently.

RIA Compliance Technology advocates for a year-round documentation approach supported by guided ADV workflows and centralized change tracking. Rather than viewing the annual amendment as a standalone event, firms are encouraged to treat disclosure updates as an ongoing process.

The company’s platform incorporates structured ADV workflows designed to:

- Capture and log changes as they occur
- Maintain version history and documentation trails
- Prompt review of related disclosure sections when updates are made
- Reduce reliance on year-end reconstruction

Viewing Form ADV inaccuracies through the lens of documentation integrity enables firms to strengthen preventative controls and reduce reliance on last-minute reconciliation.

For smaller advisory firms operating without dedicated compliance staff, this preventative structure may offer particular value. By standardizing disclosure workflows, firms can shift from reactive corrections to predictable, repeatable processes.

The broader advisory technology landscape has seen increased demand for compliance automation tools that simplify regulatory obligations without expanding headcount. Solo practitioners and boutique advisory firms, in particular, are seeking solutions that provide organization and defensibility without adding operational complexity.

RIA Compliance Technology was recently recognized in The Kitces Report 2025 for Advisor Satisfaction and Industry Leadership and named to InvestmentNews' 2025 "Best Compliance Software Solutions" list. The recognitions reflect growing industry interest in structured compliance systems designed to support small and mid-sized firms navigating increasing regulatory expectations.

As regulatory expectations continue to emphasize documentation integrity and operational controls, industry observers say the difference between reconstruction and validation may increasingly define examination readiness. For solo and small RIAs in particular, structured workflows could represent not just an efficiency upgrade, but a defensibility imperative.

Additional information on structured SEC Form ADV workflows is available at:  
<https://www.riacomptech.com/form-adv-submission-made-easy>

#### About RIA Compliance Technology

RIA Compliance Technology provides compliance software and services designed to help registered investment advisors manage regulatory obligations with clarity and confidence. 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.

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

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