

Growing RIAs May Be Outgrowing Their Compliance Systems Faster Than They Realize

RIA Compliance Technology examines how growing RIAs stay organized and exam-ready without relying on spreadsheets or manual oversight.

PHOENIX, AZ, UNITED STATES, June 4, 2026 /EINPresswire.com/ -- As registered investment advisory firms grow, the compliance systems that once felt manageable can quietly start creating operational strain. What worked for a startup firm with a small team and a limited client base often becomes much harder to manage as the business expands.



New thought leadership from RIA Compliance Technology explores why many growing RIAs may be outgrowing their original compliance infrastructure long before they recognize the operational risk it creates.

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At some point, firms get tired of playing catch-up.”

Blake Bjordahl, President

The company's latest article, [“Outgrowing Technology Can Be Detrimental for RIA Firms.”](#) looks at how many RIAs begin with lightweight compliance processes built around spreadsheets, disconnected applications, shared inboxes,

and manual oversight. Early on, those systems may appear efficient enough. But growth changes the equation.

At first, the strain is easy to miss. Tasks get spread across multiple systems. Advisors and operations staff increasingly rely on memory and manual coordination. Review processes become harder to track consistently. Documentation ends up living in different places depending on who handled the task.

And for many firms, founders or key employees slowly become the “system of record.”

Over time, that creates operational friction that is difficult to scale cleanly. It can also make exam

preparation more stressful than it needs to be, particularly when firms are trying to reconstruct activity, approvals, or supervisory processes across disconnected workflows.

“Most RIA firms are not intentionally creating compliance risk,” said Blake Bjordahl. “They simply outgrow the systems and processes that originally worked for a smaller business. The challenge is that growth increases compliance complexity faster than many firms expect, especially when compliance operations still depend on spreadsheets, email chains, or institutional memory.”

The article points to a broader shift happening across the advisory industry. As RIAs grow, compliance is becoming less about isolated tasks and more about operational consistency across the entire organization. Firms are increasingly looking for ways to centralize oversight, reduce fragmentation, and maintain clearer accountability without dramatically increasing headcount.

That challenge is showing up across the broader AdvisorTech landscape as well.

According to The Kitces Report 2025, advisory firms are using more technology than ever, yet satisfaction with many technology categories continues to decline as firms struggle with integration, workflow consistency, and operational complexity. The report notes that fewer than one-third of firms report automatic data flow across their primary applications, while only 10% report fully integrated workflows beyond their core systems.

The same research identified integration as the single biggest driver of advisor satisfaction with their technology stack. For RIAs, the issue is not necessarily having more technology. In many cases, it has too many disconnected processes operating without a clear operational structure behind them.

The article encourages firms to think about compliance infrastructure earlier in the growth cycle, before operational workarounds become deeply embedded in the business. Centralized workflows, structured review processes, integrated systems, and consistent documentation practices can help firms stay organized and exam-ready as they scale.

“Firms that scale more smoothly are usually the ones that put better operational structure in place before complexity starts compounding,” Bjordahl added. “Compliance becomes much easier to manage when systems, accountability, and documentation are already connected.”

About RIA Compliance Technology

RIA Compliance Technology provides compliance management solutions that help Registered Investment Advisors simplify, automate, and organize regulatory obligations. The platform includes integrated tools for compliance calendars, document management, communication archiving, trade monitoring, and Form ADV management. All supporting structured and defensible compliance programs.

RIA Compliance Technology was recognized in The Kitces Report 2025 for advisor satisfaction and industry leadership and named to InvestmentNews' 2025 "Best Compliance Software Solutions" list.

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

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