

RIA Compliance Technology Highlights Reg S-P Documentation Requirements Now in Effect for SEC-Registered RIAs

As Reg S-P takes full effect, small and mid-sized RIAs face a practical test: can they produce the documentation examiners expect?

PHOENIX, AZ, UNITED STATES, June 25, 2026 /EINPresswire.com/ -- RIA Compliance Technology has published a timely article to help new to mid-sized registered investment advisory firms understand what they now need to document under the SEC's amended Regulation S-P.



The article, "Reg S-P Is in Full Effect: Necessary Documentation for RIAs and How Technology Helps," focuses on a practical question many advisory firms are now facing: if an examiner asks for evidence, can the firm show its work?

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Compliance does not have to live in scattered folders, personal inboxes, or someone's memory.”

Blake Bjordahl, President

The amended Reg S-P requirements expand expectations for how SEC-registered RIAs protect customer information, respond to unauthorized access, notify affected customers, oversee third-party service providers, and retain written records. For smaller firms, the pressure often comes down to proof. They need to show that the required steps were completed, reviewed, acknowledged,

and retained.

“Reg S-P is here, and RIAs need to be able to show their work,” said Blake Bjordahl, President of RIA Compliance Technology. “Having a policy is only part of the job. Firms also need to show that the policy was shared, staff understood it, vendor oversight happened, and communications can be found when needed.”

The article outlines the records RIAs should review now, with particular attention to incident response, staff acknowledgments, customer notices, vendor oversight, and evidence of completed compliance steps.

It also explains why the new requirements may be especially challenging for firms without large internal compliance teams. New and growing RIAs often rely on lean teams, outside consultants, shared folders, spreadsheets, and founder-led processes. Those tools may be familiar, but they can become difficult to defend when a firm needs to produce a clear evidence trail.

Reg S-P also points to a larger compliance management challenge for RIAs: keeping the right records organized enough to support daily oversight and SEC exam readiness. That includes knowing where key documentation lives, who completed the required tasks, and whether the firm can quickly retrieve the right information when it matters.

RIA Compliance Technology's Simple Compliance Portal and Simple Email Archive are designed to help firms centralize compliance tasks, archive communications, document policy acknowledgments, track deadlines, and maintain searchable records. The goal is to help firms move from scattered documentation to a more reliable system of record.

"A clear system of record helps RIAs manage obligations consistently and respond with confidence when documentation is requested", Bjordahl added.

RIA Compliance Technology encourages SEC-registered RIAs to review their Reg S-P documentation now that the requirements are in full effect for firms of all sizes. The article provides a practical overview of the records firms should maintain and how organized compliance technology can reduce manual workload while improving visibility and accountability.

The full article is available at:

<https://riacomptech.com/reg-s-p-is-in-full-effect-necessary-documentation-for-rias-and-how-technology-helps>

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.

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.riacompotech.com>.

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