



REGISTER, SET, LAUNCH!

RIA Launch Sequence →

Your roadmap to RIA
registration and launch

A GUIDE FROM



XY PLANNING NETWORK



RIA Launch Sequence

So, you've decided to start your journey toward fee-only, independent RIA firm ownership. Where do you begin the road to being your own boss? Short answer: **right here!**

REGISTRATION

At this stage of your launch sequence, you'll focus on three essential steps:

1. Establishing your business entity
2. Designing your business model
3. Preparing your RIA registration

Lay Your Firm's Foundation

- Book a Kick-off Call
- Complete the Registration section of your Launch Sequence in Academy
- Registration Coaching calls

Start your Registration

- Preparing for Registration call
- IR Questionnaire
- Sign up for Initial Registration
- Pay IR Fee and sign contract
- XYPN Compliance IR Drop-In
- Submit Your ADV

Holding Pattern

You can't advertise your firm yet, but there's lots to do, so dive straight into the next section of your launch sequence.

Our All-in-One Checklist and our Launch Sequence in XYPN Academy will walk you through those to-dos one by one.

ADV Approval

Congratulations! Once your ADV is approved you can take your firm live!

THE FIRST 5 CLIENTS

LAUNCH

Launching Your RIA and Winning Your First 5 Clients

Gear up for Launch

- Complete the First Five Clients section of your Launch Sequence in XYPN Academy
- Join the Launch Coaching calls
- Attend any (or all) support solutions office hours
- Attend Drop-in-Coaching

NEXT 15 CLIENTS

LAUNCH

Building Up Your Business and Refining to Reach Your Ideal Client

Reach New Heights

- Complete the Next 15 Clients section of your Launch Sequence in Academy
- Attend Drop-in-Coaching
- Attend any (or all) support solutions office hours
- Existing firm compliance office hours



Registration

At this stage of your launch sequence, you'll focus on three essential steps: establishing your business entity, designing your business model, and preparing your RIA registration

Your goal? Get connected with resources in the Network and tackle one to-do at a time.

STEP 1

LAY YOUR FIRM'S FOUNDATION

Book a Kick-off Call with the Member Experience Team

Meet the Member Experience team, get the full intro to XYPN, and learn how to make the most of your membership benefits—this call is a must.

Complete the Registration section of your Launch Sequence in XYPN Academy

Check off the essentials required to complete your form ADV in this sequence.

Join the Registration Coaching calls

XYPN's expert business coaches will share their insights and help you think through the decisions you face at this stage. Plus, you'll meet other new members and start building your Network.

- **Introductions | Your Time & Energy | Client Avatar**
First Wednesday of every month at 12 PM MT
- **Service Model & Fees**
Third Wednesday of every month at 12 PM MT

STEP 2

START YOUR REGISTRATION

Sign up for a Preparing for Registration call

These weekly calls, hosted by the Compliance team, will help you jumpstart the registration process. [Register in the portal.](#)

Complete Initial Registration (IR) Questionnaire

Sign up for IR in the XYPN Portal

Once the above steps have been completed, the Compliance team will reach out to you to begin the registration process (Yay!)

Pay IR Fee and sign contract

Join the XYPN Compliance IR Drop-In

Afraid of compliance? You are not alone! Every Wednesday our compliance experts are available answer questions on all things compliance.

Submit Your ADV

HOLDING PATTERN

Once you submit your ADV, you enter an awkward holding pattern. You can't advertise your firm yet, but there's lots to do, so dive straight into the next section of your launch sequence.

Get started on all the things you'll need to do to take your firm live, **but make sure it stays hidden until your ADV is approved.** Regulators will check to make sure you aren't advertising your firm on your website, social media, or other channels.



Registration Support

PRO TIP

Looking to cut to the chase of what it takes to start an RIA? Our comprehensive **All-in-One Checklist** covers what it takes to get you from dreaming to doing, and our **Launch Sequence in YYPN Academy** will walk you through those to-dos one by one.

EXPERT SUPPORT

Experts from YYPN are available to you at drop-in office hours every week. Visit the [YYPN calendar to register](#).

TAP THE YYPN TEAM

Need a little face-to-face time? Here's how you can connect with our team at this stage.

- Kickoff call with Member Experience
- Registration Coaching Calls
- Preparing to Register Call with Compliance
- Compliance IR Office Hours
- YYPN Books Office Hours
- YYPN Ops Office Hours
- YYPN Invest Office Hours

BUILD YOUR NETWORK

- Introduce yourself in the Member Forums.
- Fill out your community profile on the membership dashboard.
- Attend the Registration coaching calls

EXPERTS ON YOUR SIDE

Take it off your plate by outsourcing to our team:

- YYPN Compliance Initial Registration
- YYPN Books Set Up and Training



ADV APPROVAL

Congratulations! Once your ADV is approved you can take your firm live, and jump straight into the client acquisition efforts that will be the focus of your first months.



THE FIRST 5 CLIENTS

Launch

Now that you've submitted your ADV, it's time to taxi down your runway. You'll turn your focus to the tech, financial planning workflows, marketing, and client acquisition.

Your Focus: Launching Your RIA and Winning Your First 5 Clients

* GEAR UP FOR LAUNCH

Complete the First Five Clients section of your Launch Sequence in XYPN Academy

In this sequence, you'll build the basics you'll need to serve your first clients.

Join the Launch Coaching calls

XYPN's expert business coaches will share their insights and help you think through the decisions you face at this stage. Plus, you'll meet other new members!

- **Introductions | Sales, Marketing & Getting out there**
Second Wednesday of every month at 12 PM MT
- **Tech Stack | Financial Planning Process**
Fourth Wednesday of every month at 12 PM MT

→ Attend any (or all) support solutions office hours

Pop in to listen in or hop on the mic with your own questions.

→ Attend Drop-in-Coaching

Join the Executive Business Coach crew every week. Listen in, help crowdsource advice, or bring your own burning questions to the group.

You're Never Alone

Remember you're supported. Your Member Experience team and many other points of contact at XYPN are just a click, call or message away! They are eager to be there for you on this journey, so reach out and stay connected!

LAUNCH SUPPORT





THE FIRST 5 CLIENTS

Launch Support

USE YOUR BENEFITS

Set up your included tech stack:

- Wealthbox - Client Relationship Management (CRM)
- Right Capital - Financial Planning Software
- Smart RIA - Compliance
- AdvicePay - Billing (transaction fees additional)
- XY Archive - archiving website and social media
- Capitect - performance reporting

TAP THE XYPN TEAM

Need a little face-to-face time? Here's how you can connect with our team at this stage.

- Launch Coaching Calls
- Drop in Coaching
- Compliance Existing Firm Office Hours
- XYPN Books Office Hours
- XYPN Ops Office Hours
- XYPN Invest Office Hours
- Book a Membership Consultation Call

BUILD YOUR NETWORK

Independent, but never alone. Stay connected to your colleagues in the Network:

- Attend the Launch coaching calls.
- Plan your trip to XYPN LIVE.
- Join a 12-week Launch Mastermind Group.
- Attend a virtual networking event or local meet up.
- Search the Member Directory for advisors like you and reach out to connect.

EXPERTS ON YOUR SIDE

Take it off your plate by outsourcing to our team:

- XYPN Books Set Up and Training



THE NEXT 15 CLIENTS

Launch

Once you've brought in your first few clients, you'll dedicate more time to building the service model and systems you'll need to scale, but marketing and client acquisition will stay a top priority. When you reach 10-15 clients, you'll start to revisiting and refining things like your website, ideal client profile, service model, and planning process.

At this point in your journey, **its time to customize your path to your firm's unique needs.** Leverage your member benefits and support from the XYPN team as you hit the hurdles that are unique to your business.

Your Focus: Building Up Your Business and Refining to Reach Your Ideal Client

Attend Drop-in-Coaching

Join the Executive Business Coach crew every week. Listen in, help crowdsource advice, or bring your own burning questions to the group.

Existing Firm Compliance Office Hours

Now that you have launched you can join the compliance team's weekly office hours.



Join the Braintrust

As you start to learn and feel confident in the business you're building, we'd love to see you connect back to the community. There are so many ways to add to the braintrust that is XYPN membership.

- **Blog**
- **Podcast**
- **Speaking Engagement:**
Webinars, XYPN LIVE
- **Hosting Meet-Ups**
- **Starting Mastermind Groups**
- **Join an Advisory Board for XYPN LIVE**

* REACH NEW HEIGHTS

Complete the Next 15 Clients section of your Launch Sequence in XYPN Academy

Refine the systems you'll need to expand and serve your client base in this sequence.

Attend any (or all) support solutions office hours

Pop in to listen in or hop on the mic with your own questions.

LAUNCH SUPPORT ↓



THE NEXT 15 CLIENTS

Launch Support

If you find yourself down the road experiencing an imbalance between working on your business rather than in it, **consider outsourcing** and free yourself up to work on the profitable aspects of your business instead of the business itself.

USE YOUR BENEFITS

Add a little more ease to your day-to-day:

- Outsource your ADV Update
- Expand your tech stack

TAP THE XYPN TEAM

Need a little face-to-face time? Here's how you can connect with our team at this stage.

- Drop in Coaching
- Compliance Existing Firm Office Hours
- XYPN Books Office Hours
- XYPN Ops Office Hours
- XYPN Invest Office Hours
- Book a Membership Consultation Call

BUILD YOUR NETWORK

Independent, but never alone. Lean on your community as you hit your first hurdles:

- Join a Mastermind Group.
- Attend a virtual networking event or local meet up.
- Ask a question and browse posts in the member forums

EXPERTS ON YOUR SIDE

- Sign up for Premium Coaching & Consulting

XYPN's team of expert coaches helps you build a thriving business you love.

- Sign up for Compliance Coaching

Don't want to be CEO (Chief of Everything)? Compliance consulting takes the strain out of ongoing compliance.