

Before the first draft.

A practical checklist for your website conversation. Confirm the applicable requirements with your firm or reviewer; this is not legal or compliance advice.

01 / CONFIRM THE PATH

☐ Registration and affiliations

Identify SEC- or state-registered RIA status, broker-dealer affiliation, hybrid activities, relevant entities, and the person who will approve website content.

☐ Vendor eligibility

Get the current firm website guide. Confirm whether a custom vendor is permitted before commissioning work or paying a build fee.

☐ Required names and disclosures

Collect approved entity names, registration and affiliation language, service descriptions, and applicable state insurance disclosures. Confirm where each belongs.

02 / PLACE THE REQUIRED INFORMATION

☐ BrokerCheck, where required

For covered FINRA member-firm sites, confirm readily apparent links on the required homepage and associated-person profile pages, including mobile layouts.

☐ Form CRS, where required

Covered SEC-registered advisers and broker-dealers serving retail investors need the required accessible, prominent relationship-summary placement. Use the current, firm-approved file or link.

☐ Contact details and privacy

Use the approved business email and contact details. Check where form submissions go and describe actual information collection in the privacy policy.

Before you send it.

Make the review package as deliberate as the website. A clear submission gives your reviewer the material needed to make a decision.

03 / REVIEW CONTENT AND FUNCTIONALITY

☐ Claims, testimonials, and performance

Confirm applicable SEC, FINRA, state, and firm requirements. Do not invent results or endorsements. These categories may be permitted under conditions; firm approval matters.

☐ Images, widgets, and destinations

Confirm image permissions and firm approval. Check forms, calculators, social features, newsletter tools, and external links against the current vendor and content policies.

☐ Desktop and mobile checks

Test links, navigation, legibility, disclosure visibility, contact forms, and the key call to action. Confirm required information remains apparent on a phone.

04 / PACKAGE, APPROVE, AND KEEP RECORDS

☐ Full-site PDF and review link

Supply the clearly titled full-site PDF and private review link in the firm-required format. Provide changed-page files or identifiers when the review instructions require them.

☐ Written approval before launch

Route changes back through the reviewer. Keep the final approved version and review record. Confirm the process for future edits, renewals, and re-submissions.

Primary references: FINRA Rule 2210(d)(8); SEC Form CRS instructions; SEC Investment Adviser Marketing Rule small-entity guide. Always use your firm's current instructions alongside the applicable rules.

[FINRA Rule 2210](#)[SEC Form CRS](#)[SEC Marketing Rule](#)