

FIN Group Launches Reg Review: AI-Powered Compliance Platform for Investment Advisers, etc

News-Press Release

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Summary

FIN Group Launches Reg Review – an AI-Powered Compliance Platform for Investment Advisers, Private Fund Managers, Exempt Reporting Advisers, and Broker-Dealers

Message

Walnut Creek, CA, Jul 15, 2026 -- FIN Group announced the launch of Reg Review, an AI-powered compliance platform purpose-built for registered investment advisers (RIAs), private fund managers and exempt reporting advisers (ERAs), and broker-dealers – with additional versions available for insurance, real estate, and private credit firms. The launch follows an extensive beta in which FIN Group's consulting clients ran live compliance work – annual reviews, mock exams, Form ADV and U4 disclosures, marketing reviews, vendor due diligence, registration tracking, and FinCEN AML readiness – through the platform. – Built in the field, not in a lab – Reg Review was developed alongside FIN Group's active consulting engagements. During beta, CCOs and compliance teams used Reg Review for production compliance work, providing continuous feedback that shaped the launch release. – "We didn't build Reg Review in a vacuum. Every feature was pressure-tested by real CCOs and compliance teams during our beta," said Cory Roberson, Founder & CEO, FIN Group. "The result is a platform that reflects how compliance actually gets done – not how software vendors imagine it." – What Reg Review includes at launch – - Unified compliance calendar with recurring tasks, event-driven obligations, and AI-suggested follow-ups from uploaded documents. - Five industry versions: RIA, Broker-Dealer (FINRA-focused), Insurance, Real Estate, and Private Credit – each with tailored templates, regulators, and workflows. - Private Fund & ERA module for exempt reporting advisers and fund managers, including Form D and Form PF workflow support. - FinCEN Investment Adviser AML readiness toolkit (effective January 1, 2028), with an 8-pillar checklist and event-driven obligations. - AI document, marketing, and brand scanners that flag compliance risks and map findings to specific rules and frameworks. - Disclosure Center for Form ADV Item 9, U4 DRPs, Reg S-P, cybersecurity, conflicts, and fee disclosures – AI-drafted with citations and deadline tracking. - Regulator data feeds: Form ADV (IAPD), BrokerCheck, Form D, and SEC Litigation/AAER, with per-firm watchlists. - Client registration and IAR CE tracking with CSV import and state-by-state grids. - Audit and exam preparation tools, vendor risk management, and a Continuity Hub for succession and departure planning. - Compliance questionnaire builder with public distribution links for fund DDQs and third-party data collection. - Team collaboration with firm-based roles, consultant seats, and granular permissions. – Designed around the CCO – Every AI output in Reg Review carries prominent disclaimers advising users to verify findings with legal or compliance counsel. The platform runs on a secure architecture with row-level security, encrypted edge functions, and optional TOTP multi-factor authentication, meeting the operational expectations of SEC- and FINRA-registered firms. – Availability – Reg Review is available today at regreview.io with tiered pricing from solo practitioners through enterprise firms. New customers receive a 14-day free trial. Premium add-ons include the Policy Reviser, DOL Rollover Analysis, Private Fund & ERA module, Communication Archiving, and Cybersecurity Monitoring. – About the FIN Group product family: Reg Review joins FIN Group's growing product family alongside AD Scanner (AI-powered marketing and advertising review) and Invest Prep (investment due diligence and underwriting workflows). Together, the suite gives compliance, marketing, and investment teams a connected toolkit built by practitioners, for practitioners. – About FIN Group: FIN Group (Roberson Ventures Group, Inc.) has, since 2012, helped over 200 financial firms stay compliant and audit-ready without the overhead of full-time staff. Operating across FIN Compliance, FIN Portals, FIN Partners, FIN Audits, FIN Books, and FIN Continuity, the firm delivers bundled compliance, accounting, and audit-prep services through secure platforms and a nationwide network of fractional professionals – including J.D.s, CFAs, CSCPs, IACCPs, and CPAs. – FIN Group supports investment advisers, fintechs, fund managers, consultants, and service providers with scalable solutions across SEC, state, and FINRA registrations; AML and global compliance; and ongoing filings such as Form ADV, 13F, 10-K/Q, and Blue Sky – paired with AI-powered compliance calendar management and marketing reviews. – regreview.io | fincompliance.io – Media Contact: Paige Annunziato Chief of Staff, FIN Group paige@fincompliance.io <http://www.fincompliance.io>

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