PRIVATE OFFICE OPERATIONS & COMPLIANCE INSIGHTS

A practical framework for continuity, risk management, modernization, and the Interim/Fractional COO bridge-to-hire model.

Prepared by Britney Porter

Fractional Executive / Interim COO | Compliance • Governance • Procurement • Operations • AI Implementation

EXECUTIVE BRIEF

The strongest private offices combine trusted people with systems designed for continuity.

Private offices often run on trust, discretion and long-standing relationships. The operating risk appears when essential knowledge, access, approvals and vendor relationships exist only in people's heads or informal routines.

> ***The goal is not to make the office more corporate. It is to make it easier to run, easier to protect, and less vulnerable to turnover, transition or technology change.***

THE MODEL IN ONE LINE

Stabilize now. Build the system. Search carefully. Train the successor. Hand off cleanly.

INDUSTRY SIGNALS

Key risks across the family-office industry

The risk profile is increasingly operational: cyber exposure, loss of key staff, governance gaps, technology lag and succession readiness can all undermine continuity even when investment performance is strong.

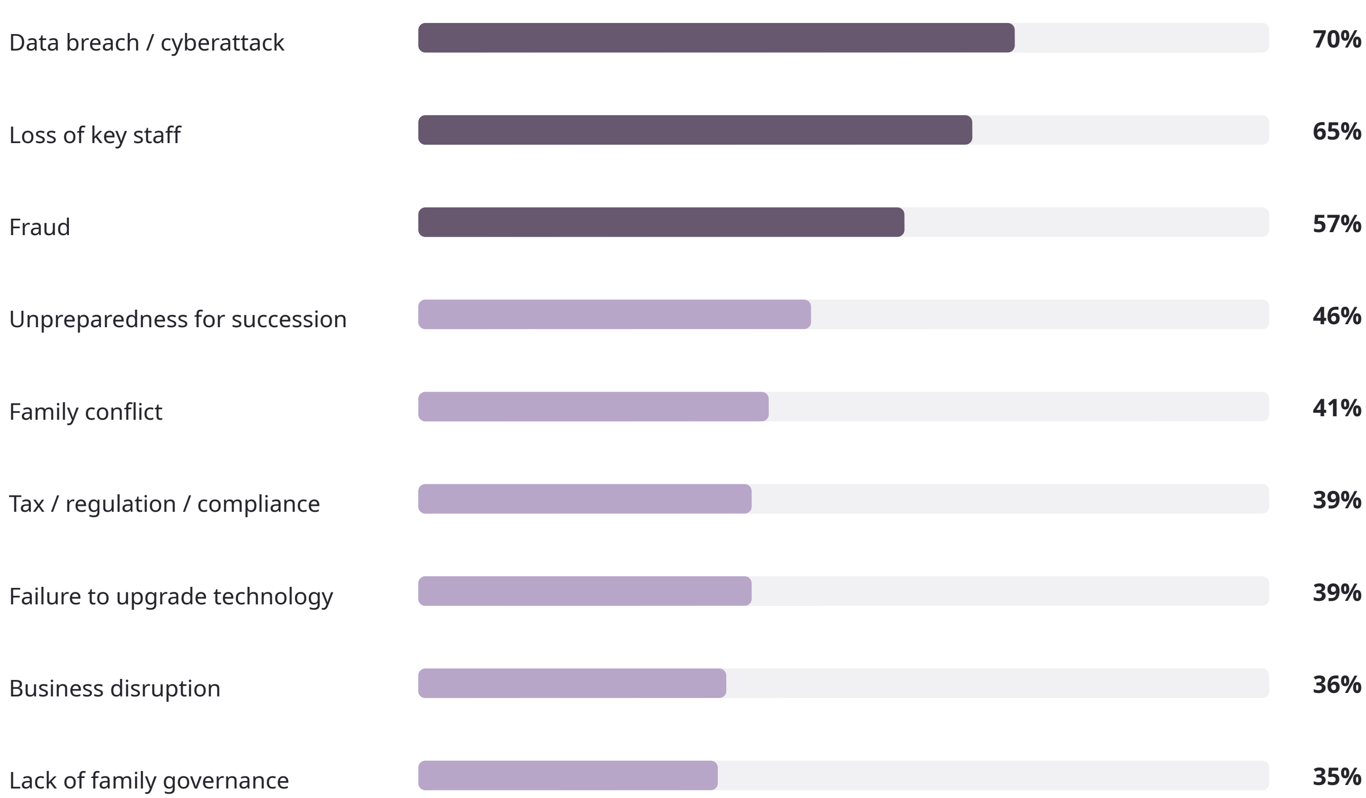
70%
North American family offices cite data breach / cyberattack as an operational risk.
Campden Wealth / AlTi, 2025

65%
Cite loss of key staff as an operational risk.
Campden Wealth / AlTi, 2025

35%
Globally have a defined succession plan for the family office itself.
UBS, 2026

48%
Say cybersecurity risk is well or very well managed.
Citi, 2025

NORTH AMERICA: OPERATIONAL RISK CONCERNS



INDUSTRY TAKEAWAY **Operational resilience is becoming a family-office capability in its own right - requiring documented controls, reliable talent, modern technology, clear ownership and a succession path.**

Sources: Campden Wealth / AlTi Tiedemann Global, The Family Office Operational Excellence Report 2025; UBS Global Family Office Report 2026; Citi Wealth 2025 Global Family Office Report.

RISK TRANSLATION

How risks can impact a family office

Risk rarely stays in one lane. A staffing, vendor, privacy or technology weakness can quickly become a continuity, cost, legal, reputational or family-trust issue.

	RISK SOURCE	OPERATIONAL EFFECT	FAMILY / OFFICE IMPACT
PEOPLE	Key employee exits →	Knowledge + approvals disappear →	Rushed hire • delays • service disruption
PRIVACY	Sensitive data shared broadly →	Access is difficult to trace →	Exposure • fraud • reputational harm
VENDORS	No owner / renewal discipline →	Scope + access drift over time →	Cost leakage • unmanaged third-party risk
CONTRACTS	Terms live in email or memory →	Obligations and dates are missed →	Escalations • avoidable legal back-and-forth
TECHNOLOGY	Shadow tools / informal AI use →	Data + decisions leave approved workflows →	Privacy • bias • poor adoption • rework
GOVERNANCE	Unclear approvals + decision rights →	Issues bounce between people →	Slow decisions • conflict • weak accountability
SUCCESSION	Advisor or principal transition →	No documented handoff →	Continuity risk • family tension • reinvention

THE COST OF INFORMAL SYSTEMS

Time lost to reconstruction • duplicated work • missed renewals • avoidable outside-advisor time • inconsistent staff experience • overdependence on a few trusted people • greater pressure to make rushed hiring decisions

2026 COMPLIANCE & RISK WATCH

The practical expectation is clear: documented control.

Applicability varies by entity structure, location and regulated status. Counsel should determine legal obligations; the operating need is to translate applicable requirements into workflows, records, training and accountability.

01 California privacy controls

California Privacy Protection Agency regulations effective January 1, 2026 include risk-assessment requirements for covered businesses, phased cybersecurity-audit requirements and future compliance requirements for certain uses of automated decision-making technology.

02 AI-assisted hiring

California employment regulations effective October 1, 2025 clarify that automated tools used in recruitment, screening, hiring and other employment decisions remain subject to anti-discrimination rules, with record-retention implications.

03 Vendor security

California Civil Code §1798.81.5 requires reasonable security for specified personal information and, in certain circumstances, contractual safeguards with nonaffiliated third parties. Vendor access therefore becomes an operating-control issue.

04 Incident response

SEC Regulation S-P amendments apply to covered financial institutions, not family offices automatically. The broader operating lesson: incident ownership, escalation, vendor coordination and communications should be defined before an event occurs.

05 NDAs and confidentiality

California law limits certain employment and separation provisions that would prevent workers from discussing unlawful acts. Private offices can still protect legitimate confidential, security and personal information, but employment-related language should be reviewed by counsel rather than treated as a one-size-fits-all shield.

OPERATIONAL IMPLICATION

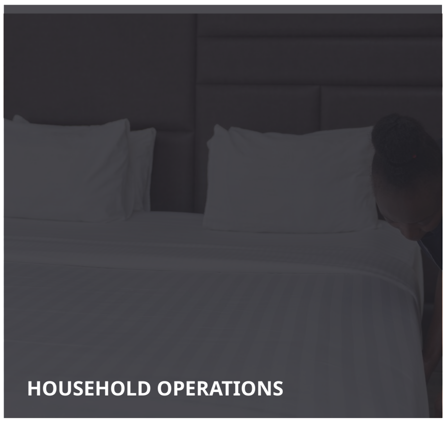
The strongest private-office compliance program is rarely the one with the most policies. It is the one where people know what to do, access is deliberate, vendors are accountable, decisions are documented, and the office can show that the process is being followed.

Selected legal and regulatory sources are listed at the end of this report. Regulatory information reviewed August 21, 2026.

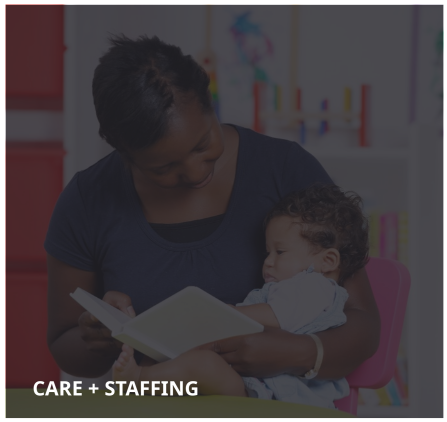
PRIVATE-OFFICE REALITY

The continuity problem is often hidden inside normal routines.

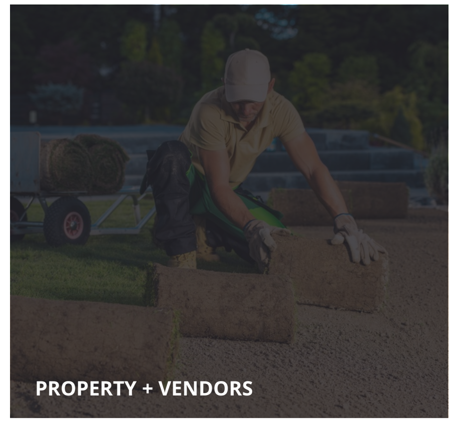
The office may look stable because trusted people are making it work. The exposure becomes visible only when someone leaves, a vendor fails, a device is compromised, a renewal is missed or a transition arrives.



HOUSEHOLD OPERATIONS



CARE + STAFFING



PROPERTY + VENDORS

Sensitive information moves through many hands

Family, household, financial, employment, medical, travel, property and security information may be shared across staff and vendors without one consistent access model.

Institutional memory can be concentrated

A trusted assistant, bookkeeper, household manager, advisor or family member may know how everything works - but the process may not exist anywhere else.

Vendor relationships can outgrow oversight

Technology, staffing, property, security and professional-service vendors may have access, renewals and obligations that no single owner is actively managing.

Technology is often adopted before governance

AI, cloud tools, messaging apps and automation can enter workflows before privacy, retention, human-review and approval rules are defined.

> ***Modernize discreetly. Document intelligently. Protect continuity without disrupting the culture that makes the office work.***

OPERATING SCOPE

Where I add value

My work sits between executive operations, compliance, procurement, governance, technology implementation and change management - especially when an office needs to organize, modernize, document or de-risk without adding a permanent specialist for every function.

01 Privacy & information

Access, retention, offboarding, incident escalation and sensitive-information handling.

02 Operational risk

Single points of failure, approval gaps, risk registers, ownership and evidence of completion.

03 People & continuity

Role clarity, onboarding, retention, succession, train-the-successor and knowledge transfer.

04 Procurement & vendors

Intake, comparisons, diligence, approvals, renewals, performance and vendor access.

05 Contracts & NDAs

Commercial requirements, approved templates, tracking, signatures, obligations and counsel coordination.

06 Operations management

Cross-functional coordination, reporting, decisions, issue tracking, recurring calendars and handoffs.

07 AI & technology

Workflow assessment, tool identification, AI-use governance, vendor review, implementation and training.

08 Change & training

Adoption plans, SOPs, PDFs, how-to guides, interactive videos, staff training and handoff materials.

CONTROL ENVIRONMENT

Privacy, risk controls & responsible technology

The practical goal is a lightweight control environment that supports discretion and speed without turning a private office into a bureaucracy.

PRIVACY & INFORMATION MANAGEMENT

Inventory sensitive information, devices, shared folders and external access points.
Define need-to-know access, permission levels, retention expectations and offboarding steps.
Create practical handling rules for family, employee, household, financial, identity, travel and vendor information.
Establish escalation steps for lost devices, misdirected emails, suspicious access or vendor incidents.

Risk aversion & operational controls

Identify single points of failure, undocumented dependencies and approval gaps. Build risk registers, ownership matrices, approval thresholds, exception logs and review cadences so recurring problems become documented controls rather than repeated emergencies.

AI governance & responsible use

Inventory how staff and vendors use generative AI, transcription, analytics and automated tools. Define approved and prohibited uses, human-review expectations, vendor questions, recordkeeping, legal-review triggers and staff guidance.

TECHNOLOGY MODERNIZATION

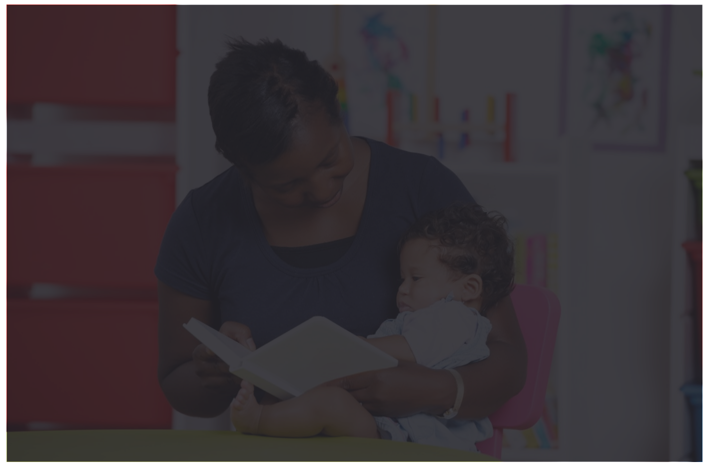
Assess workflows and identify technology that can improve efficiency, communication, documentation, approvals and coordination - then build the implementation, change-management and training plan needed for adoption.

Tool selection is treated as an operating decision, not simply a software purchase.

PEOPLE & CONTINUITY

Reliable teams require clearer systems around the people.

Retention and succession are not only recruiting issues. Role ambiguity, undocumented handoffs, inconsistent training and concentrated knowledge can make even strong employees harder to retain and replace.



MIS-HIRE PREVENTION, RETENTION & SUCCESSION

Clarify responsibilities, decision rights, access and success measures before recruiting.
Create stronger onboarding around privacy, vendors, workflows and escalation paths.
Reduce avoidable turnover caused by poor handoffs, unclear expectations or undocumented practices.
Create transition plans for retiring advisors, long-tenured staff and key employees with concentrated knowledge.

CHANGE MANAGEMENT

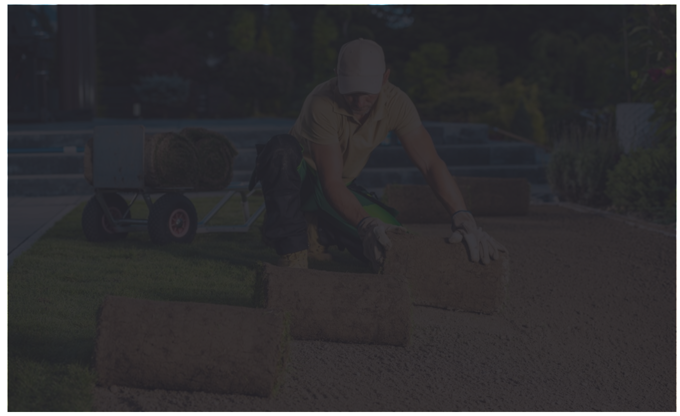
Introduce new systems in stages rather than forcing abrupt change.
Document what should remain, what should change and what can be simplified.
Create stakeholder maps, adoption plans, office hours, feedback loops and implementation checklists.
Measure whether the new process is actually being used and adjust unnecessary friction.

> ***The objective is not to replace trusted people. It is to make their knowledge transferable and the office less fragile when people change.***

COMMERCIAL CONTROLS

Procurement, contracts, NDAs & vendor governance

A disciplined contract and vendor process can reduce cost leakage, missed renewals, unmanaged access and unnecessary legal back-and-forth while keeping legal judgment with licensed counsel.



Procurement & vendor governance

Create vendor inventories with owners, services, access, renewal dates, costs and risk levels. Build intake, comparison, diligence, approval, renewal and termination workflows. Maintain calendars, reminders, deliverable trackers and vendor performance reviews.

Contracts & commercial terms

Support vendor sourcing, scopes of work, business terms, pricing, service levels, diligence and commercial negotiations. Prepare business requirements and first-pass contract materials using counsel-approved templates and established legal frameworks.

NDA PROCESS OWNERSHIP

Maintain approved templates • gather business requirements • distribute agreements • route legal review when needed • coordinate and confirm signatures • keep organized records and trackers • support consistent use of counsel-approved terms and procedures • flag outdated or inconsistent provisions for review

Legal interpretation, enforceability and substantive legal provisions remain with licensed counsel.

OPERATING RHYTHM

Operations coordination, neutral communications & knowledge transfer

Strong private-office operations depend on consistent handoffs between staff, household teams, advisors, recruiters and vendors - not informal memory or personality-dependent communication.

ONE ACCOUNTABLE OPERATING LAYER ACROSS INTERNAL TEAMS + OUTSIDE ADVISORS

Operations coordination

Coordinate cross-functional projects involving staff, household operations, property teams, recruiters, vendors, attorneys, accountants, wealth advisors and technology providers. Build meeting, reporting, decision, issue-tracking and follow-up systems with clear ownership.

Neutral & consistent communications

Create editable PDFs, checklists, FAQs, how-to guides, workflow maps, quick-reference materials and short interactive training videos. Translate approved policies, legal guidance and operating changes into practical instructions people can follow.

WHY THIS MATTERS

Standardized instructions and reusable onboarding, training and handoff materials reduce confusion, inconsistent messaging and dependence on verbal direction - helping the office retain quality staff and carry processes forward when leadership or advisors change.

BUILD-TO-TRANSFER

A modernization model that respects legacy teams

The people who know the most may also be the most cautious about changing how the office works. The answer is not to discard that knowledge; it is to protect it from becoming a single point of failure.

1 PRESERVE

Identify the routines, relationships, judgment and institutional knowledge that should not be lost.

2 DOCUMENT

Create a usable record of critical workflows, approvals, vendors, responsibilities and recurring deadlines.

3 STANDARDIZE

Turn high-risk or repetitive work into checklists, templates, trackers and escalation rules.

4 MODERNIZE

Introduce better tools or processes only where they reduce risk, save time or improve continuity.

5 TRAIN

Teach the principal's chosen successor, current staff, family member or new hire how to run the system.

6 TRANSFER

Leave clear ownership, documentation and a maintenance cadence so the office is not dependent on the interim executive.

CENTRAL VALUE PROPOSITION

I am not selling permanent dependence. I am building durable operating capacity.

METHOD

The HB+ private-office process

A structured but flexible seven-stage method that moves from diagnosis to implementation and transfer.

1. ASK

Define the problem, sensitivities, timeline, decision-makers, budget and what cannot be disrupted.

2. PREPARE

Determine what information is needed, how it will be collected and how sensitive material will be protected.

3. AUDIT

Review workflows, vendors, access, controls, documentation, role clarity and points of fragility.

4. ANALYZE

Identify gaps, duplicated work, risk concentration, technology opportunities and practical priorities.

1	2	3	4	5	6	7
ASK	PREPARE	AUDIT	ANALYZE	INSIGHTS	IMPLEMENT	TRANSFER

5. INSIGHTS

Translate findings into a concise roadmap leadership, staff, recruiters and advisors can act on.

6. IMPLEMENT

Build and launch the agreed processes, tools, trackers, training, reporting routines and controls.

7. TRANSFER

Train owners, test handoffs, finalize documentation and establish a simple maintenance cadence.

> ***A useful process is one the permanent team can understand, maintain and improve after the engagement ends.***

BUILD OUTPUTS

Examples of practical deliverables

Deliverables are tailored to the office and are not limited to these examples. The objective is to create, at minimum, the practical structure needed for consistency, accountability, continuity and effective day-to-day operations.

Privacy & access	Data/access inventory • permission matrix • device/offboarding checklist • sensitive-information handling guide • incident escalation list
Vendors & procurement	Vendor register • diligence checklist • renewal calendar • comparison matrix • approval workflow • performance review template
Contracts & NDAs	Agreement tracker • counsel-review workflow • signature/renewal checklist • obligation tracker • counsel-approved template library
People & continuity	Role scorecard • onboarding plan • knowledge-transfer interview guide • transition binder • succession checklist • train-the-successor plan
Operations	SOP library • responsibility matrix • recurring operating calendar • issue tracker • meeting cadence • decision log
AI & technology	Workflow/technology assessment • tool identification • AI-use inventory • approved-use matrix • vendor questions • human-review checklist • implementation/change/training plan
Compliance management	Risk register • policy inventory • evidence-of-completion tracker • training log • review calendar • escalation matrix

THE OUTPUT IS NOT A BINDER ON A SHELF. IT IS A WORKING OPERATING SYSTEM.

ENGAGEMENT ARCHITECTURE

How I can be engaged

The primary model is an Interim/Fractional COO engagement placed or partnered through an executive-search, family-office recruiting or specialized staffing firm. Direct engagements can also be structured with a private office.

01	**Fractional COO / Executive**	Part-time senior executive capacity across operations, compliance, procurement, vendors, governance, people, systems and AI implementation without immediately adding permanent full-time headcount.
02	**Interim COO / W-2 placement**	A defined-term internal executive role during a vacancy, permanent search, leave, reorganization, modernization effort, leadership gap or special project.
03	**White-labeled / partnered B2B**	Where the search firm's model allows, operate behind or alongside the firm's client relationship as a private-office transformation resource.
04	**Build-and-transfer / successor readiness**	A time-limited assignment focused on building the operating system, training the principal's chosen owner or permanent hire, then transferring responsibility.
05	**Direct / embedded transformation role**	Senior coordination across internal staff and external attorneys, accountants, wealth advisors, technology teams, recruiters and vendors when the office needs one accountable operator.

B2B PARTNER MODEL

Why this works for executive search & staffing firms

Executive recruiters are often solving two problems at once: find the right permanent leader and help the client survive the gap until that person starts.

THE SEARCH-FIRM VALUE PROPOSITION

Place a high-value operating solution immediately, earn an interim/fractional engagement fee where the firm's model permits, protect the quality of the permanent search, and hand the long-term placement a cleaner operating environment.

1 **Immediate client solution**

Senior operating coverage before the permanent search is complete.

2 **Additional engagement opportunity**

Interim/fractional placement revenue may sit alongside the permanent search.

3 **Protects search quality**

The client is less likely to rush into another mis-hire because operations need someone immediately.

4 **Improves the search brief**

The interim period surfaces the true role scope, decision rights, workload, pain points and success measures.

5 **Stabilizes the client relationship**

Operations, vendors, projects, staff coordination and deadlines have a senior owner during the search.

6 **Easier onboarding + clean exit**

The permanent placement inherits documented workflows, defined priorities and a structured handoff.

BRIDGE-TO-HIRE

Stabilize now. Search carefully. Hand off cleanly.

The engagement can be structured in phases or as a six-month-plus interim/fractional contract, then step down as the operating environment becomes more organized and the permanent executive is onboarded.

1	2	3	4	5	6
PLACE	**STABILIZE**	**BUILD**	**INFORM SEARCH**	**HANDOFF**	**EXIT / STEP DOWN**
Search partner introduces / places interim executive	Assume defined ownership and address urgent risks	Create systems, controls, documentation and training	Refine role scope, success measures and onboarding	Train permanent hire or designated successor	Conclude or move into narrow transition support

WHAT THE FIRST 30 DAYS CAN LOOK LIKE

WEEK 1 **UNDERSTAND**	Stakeholder interviews • operating priorities • confidentiality expectations • current pain points • transitions • systems and vendors
WEEK 2 **MAP**	Critical workflows • recurring obligations • access • vendor dependencies • contracts and renewals • key-person risk • recruiting gaps
WEEK 3 **PRIORITIZE**	Immediate risk controls • quick wins • documentation needs • tasks to stop, simplify, automate or escalate • advisor dependencies
WEEK 4 **LAUNCH**	Agreed trackers • checklists • workflows • ownership matrix • training calendar • implementation roadmap • measurable 60-90 day priorities

FAQ

How I work with attorneys, contracts, NDAs and professional advisors

The model is designed to keep operational ownership and legal judgment clearly separated while making counsel and other specialists easier to use effectively.

Are you an attorney?

No. I have formal law school education and a legal master's degree focused on business, emerging law, technology and regulatory governance, but I am not licensed to practice law in California. My work is operational, compliance-focused, strategic and implementation-oriented.

What does compliance mean in your role?

I help build the management system around requirements: policies, procedures, controls, vendor workflows, training, records, issue escalation, monitoring and evidence that the process is being followed. Legal opinions and interpretation are routed to counsel.

Can you help with contracts and procurement?

Yes. I support the operational and commercial side of contracting and procurement, including vendor sourcing, scopes of work, business terms, pricing, service levels, diligence, approvals, renewals, contract tracking and vendor performance. I can prepare business requirements, proposed commercial terms, procurement documentation and first-pass contract materials using counsel-approved templates and established legal frameworks. Substantive modification or interpretation of legal provisions and advice regarding legal rights or obligations are coordinated with licensed counsel.

Can you create or manage NDAs?

I can manage the NDA process operationally: maintain approved templates, gather business requirements, distribute agreements, route legal review when needed, coordinate and confirm signatures, and maintain organized records and trackers. I can support consistent use of counsel-approved terms and flag outdated or inconsistent provisions for review. I do not independently provide legal advice regarding enforceability, interpretation or legal rights and obligations.

How do you work with attorneys?

Counsel provides legal advice and legal drafting as appropriate. I organize facts, coordinate review, manage deadlines, track obligations, implement counsel-approved requirements and train staff on the resulting process.

How do you work with other advisors?

I do not replace accountants, wealth advisors, tax professionals or investment teams. I coordinate the operating layer around information requests, deadlines, approvals, documentation, vendors and cross-functional handoffs.

How the interim / fractional model works

The role is designed as a bridge and operating-system build - not permanent dependence and not competition with the recruiter or permanent candidate.

Can you work through our search or staffing firm?

Yes. That is a core part of the model. I can be introduced or placed as an Interim/Fractional COO, a defined-term W-2 executive or a specialized B2B operating resource, depending on the firm's model.

Can the engagement be white-labeled?

Potentially. Where the firm's business model and agreements permit, I can provide the operating service behind or alongside the firm's client relationship. Branding, billing, client ownership, confidentiality and communications should be agreed in advance.

What if the search takes 6-9 months or longer?

The engagement can be phased or structured as a six-month-plus interim/fractional contract. Coverage can be heavier during stabilization and system build, then step down as operations become more organized and the permanent executive is onboarded.

What makes this different from temporary coverage?

The assignment is not limited to keeping the seat warm. The goal is to leave clearer roles, documented processes, better controls, organized vendors and contracts, trained staff and a functioning operating system.

WHAT DOES SUCCESS LOOK LIKE?

Clearer communication and stronger coordination across staff, vendors, advisors and household teams.
Reliable staff who understand expectations, responsibilities and established processes.
Clear ownership, accountability, approvals and decision-making.
Better protection of sensitive information through documented controls and access procedures.
Stronger onboarding, offboarding, training and knowledge-transfer systems.
Better visibility into vendors, contracts, renewals and recurring obligations.
Fewer undocumented processes and less reliance on any one person's institutional knowledge.
More consistent documentation, reporting and follow-through.
More efficient use of attorneys and outside advisors by reducing avoidable back-and-forth and organizing issues before they reach specialized counsel.
Systems and processes that remain useful after the interim or fractional engagement ends.

GOAL: GREATER CONTINUITY • DISCRETION • PROTECTION • CONSISTENCY • OPERATIONAL DURABILITY

SELF-ASSESSMENT

Private Office Readiness Checklist

A “no” or “not sure” does not automatically mean the office has a compliance problem. It usually signals an opportunity to reduce operational dependency and make the environment easier to manage.

- [ ] We can identify every outside vendor with access to sensitive family, employee, household or financial information.
- [ ] We have a defined process for deciding when legal counsel should review a contract, employee issue, privacy question or incident.
- [ ] We know who owns each vendor relationship and when each material agreement renews.
- [ ] We know whether staff and vendors are using AI tools and what information may or may not be entered into them.
- [ ] We have a consistent onboarding and offboarding process for employees, contractors and household staff.
- [ ] If an email, device, vendor account or shared folder were compromised, staff would know whom to contact and what to do first.
- [ ] Access to systems, shared folders, devices and sensitive information is reviewed when roles change.
- [ ] Our recruiting process defines the role, access, decision rights and success measures before candidates are evaluated.
- [ ] Critical recurring tasks are documented well enough for another authorized person to perform them.
- [ ] Long-tenured staff and aging advisors have a documented transition or knowledge-transfer plan.
- [ ] At least one backup person can take over essential workflows if a key employee or advisor becomes unavailable.
- [ ] New systems are introduced with training, ownership and a clear reason for the change.
- [ ] We know where NDAs, contracts, insurance certificates, policies and key approvals are stored.
- [ ] We can demonstrate that important compliance and operational processes are actually being followed, not merely written down.

Use this checklist as a conversation starter - not a legal determination.

ABOUT

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PRIVATE OFFICE OPERATIONS + COMPLIANCE

Fractional Executive / Interim COO

Britney Porter is a senior strategic advisor whose work spans compliance, governance, procurement, operations, institutional strategy, AI and legal technology implementation, public affairs and economic development. Her approach combines research, policy and regulatory analysis, operational strategy and implementation to help leaders strengthen systems, manage risk and move complex initiatives forward.

Her background includes more than a decade of public- and private-sector advisory experience across high-profile initiatives, formal law school education and a legal master's degree focused on business, emerging law, technology and regulatory governance, and published research and analysis on governance, economic systems, technology and institutional accountability.

PRIVATE OFFICE DELIVERY MODEL

Fractional Executive / Interim COO support across governance, procurement, technology, vendor management, compliance operations, change management, institutional continuity and build-to-transfer systems.

Engagements can be direct or partnered through executive search and specialized staffing firms.

CORE PRINCIPLE

Build the system, strengthen the people using it, and leave the office with more durable capacity than it had before.

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Legal disclaimer & selected sources

This report is general informational material for private professional review.

PROFESSIONAL SCOPE & LEGAL DISCLAIMER

Britney Porter is not an attorney and is not licensed to practice law in California. California Business and Professions Code §6125 provides that a person may not practice law in California unless the person is an active licensee of the State Bar. Services described in this report are limited to business, operations, compliance management, governance, procurement, research, project management, training, implementation and coordination functions.

Nothing in this report creates an attorney-client relationship or should be understood as legal advice, a legal opinion, legal representation or a substitute for advice from qualified legal counsel. Matters involving legal interpretation, legal rights or remedies, enforceability, privileged communications or legal drafting should be handled or reviewed by licensed counsel as appropriate.

Where legal or regulatory requirements affect an engagement, counsel can establish or approve the legal requirements; I can help translate those requirements into workflows, checklists, training, documentation, vendor controls, project plans and ongoing operating practices.

SELECTED SOURCES & REGULATORY REFERENCES

01 Campden Wealth / AlTi Tiedemann Global - The Family Office Operational Excellence Report 2025

02 Citi Wealth - 2025 Global Family Office Report

03 UBS - Global Family Office Report 2026

04 California Privacy Protection Agency - CCPA regulations / risk assessments / cybersecurity audits / ADMT

05 California Civil Rights Department - Employment regulations regarding automated decision systems

06 California Civil Code §1798.81.5 - reasonable security procedures and practices

07 U.S. SEC - Regulation S-P: Privacy of Consumer Financial Information and Safeguarding Customer Information

08 California Government Code §12964.5 - limitations on certain nondisclosure and nondisparagement provisions

09 California Business and Professions Code §§6125-6126 - unlawful practice of law

Regulatory information reviewed August 21, 2026. Laws and guidance change; confirm current applicability with qualified counsel.