



WITH YOU EVERY STEP OF THE WAY

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TRANSITION TIMELINE

At **Great Valley Advisor Group (GVA)** we are well aware that making a change to your current practice can be intimidating; however, we also know that sometimes change is necessary to allow room for **growth and advancement**.

GVA believes advisors must **clearly understand the options available** as you look to **grow your business**. As such we have built materials to **clearly present available options to you** through GVA. Additionally, our **knowledgeable Business Development Team** is available to answer any of your initial questions, and our **dedicated Transition Team** guides you each step of the way ensuring a **smooth transition process**.

The following **roadmap** demonstrates **what to expect** during each phase of your **transition to the GVA Family**.

PHASE 01 DISCOVER

Is GVA the right fit for you? We'll get to know each other and better understand your needs during this phase.

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- GVA will schedule an initial discovery call to discuss your needs, focusing on why you're looking to transition and how GVA may be able to support you.
- We'll share our two available affiliation models - RIA Only and Hybrid - and discuss which option is most appropriate.
- In our follow-up email, we will share a few resources to help you in your transition journey.
- We will check in with you, set up additional calls, and provide additional materials to address any outstanding concerns or questions you may have.

> Submit a secure and anonymous kit online to move forward to Phase 2.

PHASE 02 DILIGENCE

What should your transition package look like? Through our due diligence process, we'll prepare a pro forma and offer letter for review.

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- Once your kit has been received, we will review this initial information, and set up a meeting for us (you, GVA, and LPL if applicable).
- GVA will gather information (AUM reports, GDC, etc.) from you so we can prepare your transition package.
- GVA will send you a pro forma, providing a detailed estimate of fees and revenue you can expect over the next 3-5 years.
- GVA will review your CRD, Credit, and Background sheets.
- GVA will send you an official offer letter and transition package for consideration.

> Sign the offer letter to kick off Phase 3.

PHASE 03 SIGN & START

What can you expect during your transition? This is when your transition package kicks into gear.

4 WEEKS PRIOR TO LAUNCH:

You will be responsible for providing your transition manager all OBA information, your initial registration kit, and your most recent trailing 12-month statement.

Outside Business Activities (OBA) guidance:

- "OBA - RIA DBA" discloses your DBA name at Great Valley Advisor Group
- "OBA - Registered Investment Advisor" discloses GVA as your RIA
- Please disclose all other outside business activities as a part of this OBA process

3 WEEKS PRIOR TO LAUNCH

Depending on how you plan on affiliating with us, you will need to complete the appropriate forms:

1. IFA Agreement or Hybrid Agreement
2. IFA RIA Attestation (RIA Only)
3. IFA Advisory Only (RIA Only)
 - IAR Agreement
 - IAR Addendum
4. Electronic fingerprint scan NLA Agreement (Admin only)
5. Confirm custodian(s) that will be utilized:
 - LPL Financial
 - Charles Schwab
 - Fidelity
 - SEI Investments

Let's build your brand! Work with GVA's Marketing Team to create everything from your new DBA name, a logo and brand guidelines, a website, print collateral, and more.

2 WEEKS PRIOR TO LAUNCH

During this time, we will focus on completing the following together:

1. GVA Initial Compliance Questionnaire
2. Direct Deposit Form(s) /Void Check
3. E&O Insurance (must be approved by GVA)
4. U4 Updates / IARD Management/State Registration(s)
 - GVA will begin processing your U4 based on the completed online 2B
5. Establish Rep ID(s)

1 WEEK PRIOR TO LAUNCH

During this time, GVA will:

- Review your advisor files
- Verify necessary training has been completed, if applicable
- Review and submit all marketing materials for compliance approval
- Confirm tombstone/client letter is compliance approved
- Establish new account paperwork
- Confirm that the appropriate account change forms are available for each custodian being utilized
- Provide training for all admins and advisors

> Now that the paperwork is complete, it's go time!

PHASE 04 LAUNCH

GVA will be with you every step of the way throughout the transition process and continue to partner closely with you long after the transition is completed successfully.

Transfer your Series 65 or 66 to GVA.

Ensure that you have been approved in the appropriate state(s) prior to transferring accounts or conducting business.

Send release letters and place phone calls to your clients.

Distribute press releases, and post notifications and updates to your social media account(s).

Begin client transfers!