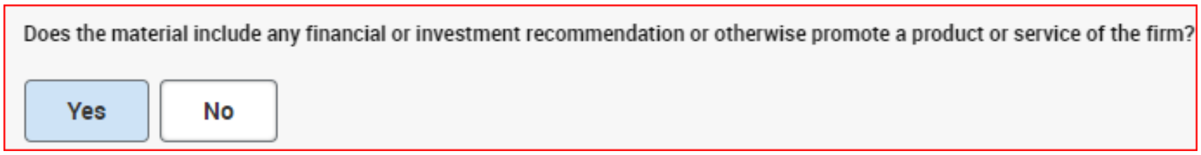
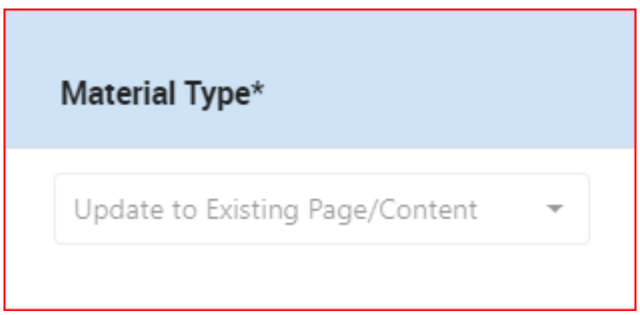
Compliance Review Guide

Hybrid Advisors

1. Obtain **screenshots** of any **new website pages**, or **existing website updates**.
2. Login to **<u>LPL ClientWorks</u>**.
3. After logging in, from the homepage, **click on "Menu"** (top right corner), then **click "Compliance".** From the Compliance menu **select "Advertising Review Tool (ART)",** and then click the blue **"New Submission" button**.
4. Scroll through the page and **complete all required fields**. **Upload** your submission **materials**, then click the green **"Submit" button**.
   - Select **"Yes"** for the following question: **"Does the material include any financial or investment recommendation or otherwise promote a product or service of the firm?"**

   - If the submission is an update to an existing website, select **"Update to existing Page/Content"** from the **"Material Type"** field.

5. You will **receive an email from LPL Compliance** requesting additional information or providing approval. Once received please **alert GVA**'s Operations Team at <u>operations@greatvalleyadvisors.com</u> and Marketing Team at <u>marketing@greatvalleyadvisors.com</u>.

REMINDER: please do not use the items in review prior to obtaining final approval.

Do you have LPL Virtual Admin?

If so, depending on your service level, it's possible that they may submit the documents for you.

Additional questions?

Your best bet is to reach out to the **LPL Marketing Review Team** directly at 888-575-4742, speak the phrase "marketing review". Or, if you are experiencing technical difficulties then please contact the **LPL Technical Support Team** at 888-575-4742, speak the phrase "technical support".