



## Compliance Resources

### 1. GVA Salesforce Portal

- Login via <https://gva.my.salesforce.com/>
- Submit CRM, tickets, document review, entry of Marketing Materials

### 2. AdvisorBob

- Financial Plans and advisory 401Ks

### 3. Annual Client Meetings

- Can enter directly thru Salesforce and use for both GVA and LPL (iDoc), or keep readily accessible in office CRM/books and records

### 4. Link Website to [GreatValleyAdvisors.com/WhatWeDo/](http://GreatValleyAdvisors.com/WhatWeDo/)

- Provides link to GVA items for all clients/prospects, including ADV, CRS, and Privacy Policy
- MUST put evergreen link on your website

### 5. Quarterly Compliance Training

- Recorded and available on [GVARIA.com](http://GVARIA.com)
- Must attend one live/year, and attest to listening and understanding all four

### 6. Gatekeeper eNewsletter

- sent weekly and copies available on [GVARIA.com](http://GVARIA.com)

### 7. Risk Tolerance Questionnaire through GVA Salesforce Portal



## [GVARIA.com](https://www.gvaria.com) is your resource for:

- [GVA Compliance Manual](#) (includes branch office security policy & code of ethics)
- SEC Marketing Rule
- GVA Marketing Submissions for IFA only advisors
- Recordings and Slide Presentations of GVA Quarterly Compliance Trainings
- [Required forms](#)
- [Financial Planning Kit](#)
- My Rep Chat Sign up Information for IFA only – hybrids continue to go through LPL
- Cybersecurity Checklist (*coming soon*)
- Quicklinks to [SEC](#) and [FINRA](#)
- Information on [E&O Insurance](#)
- Gatekeeper eNewsletters
- Service Team contact information
- Links to AdvisorBob, Salesforce, LPL Clientworks, GVA Insurance Brokers and TPMs
- Technology solutions (Tech Stack)



## Advisor Deliverables

### 1. Quarterly and Annual Compliance Forms

- Includes personal accounts, political contributions, gifts & entertainment, etc.
- **IMPORTANT:** Download a copy after completion for your records

### 2. Quarterly Compliance Calls

- must attend 1, attest to listening and understanding all 4
- Are recorded and available through GVARIA.com

### 3. Respond to Tickets

- Check at least weekly
- This is how we communicate what we need from you to request deliverables needed
- Hybrid advisors – also respond to notifications through ClientWorks

### 4. Annual Business Continuity Plan (BCP) Updates & Testing

- Send to [compliance@greatvalleyadvisors.com](mailto:compliance@greatvalleyadvisors.com)



## Advisor Deliverables (cont'd)

### 5. **Submit Marketing Pieces Prior to Use**

- Includes stationery, websites, Social Media, bulk correspondence, etc.
- RIA only -Use link through GVARIA.com
- Hybrid – enter to ComplianceMax

### 6. **Add “What We Do” to Your Website**

- Hyperlink to this URL: <https://www.greatvalleyadvisors.com/whatwedo/>

### 7. **All U4 Updates to [compliance@greatvalleyadvsors.com](mailto:compliance@greatvalleyadvsors.com)**

### 8. **New OBAs & DBAs -- or Changes to Existing**

- Hybrids submit through ComplianceMax
- RIA submit GVA OBA Ticket through MRR process

### 9. **CEA’s – GVA Client Agreement – at account opening, strategy changes and advisor directed**

- Hybrid – include F1-HYB when necessary

### 10. **Submit Trade Corrections Form to [compliance@greatvalleyadvisors.com](mailto:compliance@greatvalleyadvisors.com)**



## Advisor Deliverables (cont'd)

**11. Staff and Office Changes Submit to [compliance@greatvalleyadvisors.com](mailto:compliance@greatvalleyadvisors.com)**

**12. Submit Complaints**

- IFA only – send GVA dispute reporting form to [compliance@greatvalleyadvisors.com](mailto:compliance@greatvalleyadvisors.com)
- Hybrid - F800 submitted to LPL and copy [compliance@greatvalleyadvisors.com](mailto:compliance@greatvalleyadvisors.com)

**13. Review Excess Cash Report at least Monthly**

- make notes in the accounts to substantiate rationale for cash

**14. Whistleblower Email – [whistleblower@greatvalleyadvisors.com](mailto:whistleblower@greatvalleyadvisors.com)**

**15. Branch Office Inspections**

- mail [compliance@greatvalleyadvisors.com](mailto:compliance@greatvalleyadvisors.com) any time someone comes to your office to do an exam whether it is LPL or a regulator

**16. Maintain CRS Logs as Necessary and Required**

- any person who receives advice without signing a CEA must have CRS delivery logged.



## What We Do For You

- Due diligence for TPM's and Off-LPL Platform Custodians
  - initial and annual
- Account and Trade Monitoring
  - trade blotter, email, SOF, 3<sup>rd</sup> party disbursements, IO, AI, Social Media, excess cash, etc
- Annual Privacy Policy and ADV Mailing, including material changes
- AdvisorBOB for Compensation, Financial Plan Entry, 401k Entry
- Technology Solutions Available
- Account Maintenance Oversight, including annual review best practices
- 2b Updates