

(9/18/2026)

New Hire Process Non-Licensed Assistant (NLA)

Overview - Key NLA Onboarding Steps:

1. Notify GVA via Salesforce (see instructions below in the Details) of the new hire.
 - a. If you are IFA-Only (advisory services only) with GVA, please disregard steps 2-5. The GVA Transition Team will work with you directly.
2. NLA must get fingerprinted at Field Print location (instructions on where to find your location can be found on page 8, Step 11 of your RE-F635-REG form).
3. Complete LPL's RE-F635-REG - Memorandum for Non-Licensed Assistant (NLA) and Non-Registered Personnel (NRP) form. This form will initiate Client Works and email access for the NLA. **Note: NLA onboarding will be drastically delayed if the RE-F635-REG is filled out incorrectly.**
4. Once the NLA receives their welcome email from LPL Financial granting them an email and ClientWorks access, please forward that email to Operations@greatvalleyadvisors.com.
5. GVA will send final compliance forms with instructions to the NLA for completion and return.

Detailed Instructions:

1. **Notify GVA in Salesforce** - To notify GVA, create a New Hire profile in Salesforce. You can do this by logging into the portal, navigating to the Household/Individuals view, and clicking "New" on the top right of the page, then selecting "Advisor – new office hire" as type. Enter the hire's name, title, and *personal* email address, your office as the Employer, and NEWNLA under Advisor CRD field.
2. **Complete GVA Onboarding Fact Finder** – Each NLA will receive an email inviting him or her to complete this step. Please make sure to do so as gathering this background information fulfills certain compliance requirements.
3. **NLA receives LPL's RE-F635-REG** – this form will come a separate email accompanied with instructions on how to fill the form.
 - a. Fingerprinting instructions will be found on page 8, step 11 of the F635-REG. NLA must complete the fingerprinting process and Notify GVA transition team of completion by sending an email to Operations@greatvalleyadvisors.com. Fingerprints should be submitted prior to RE-F635-REG as the form cannot be processed without the former.

(5/27/2021)

- b. Complete the RE-F635-REG and follow the instructions accurately to avoid delays in processing times.
- 4. **Send completed RE-F635-REG to GVA Compliance** - After the NLA completes the form and reviews for accuracy, send to mduff@greatvalleyadvisors.com. GVA will sign in the required fields, then submit to LPL's Replmaging.Email@lpl.com on the NLA's behalf. GVA will CC the NLA and any office onboarding leads on this submission as confirmation that this step has been completed.
- 5. **LPL Review Process begins** - Standard review time is 5 business days.
 - a. Upon submission of the form to LPL, initial processing and registration begins. An LPL specialist will review the submitted materials.
 - b. Provided materials are deemed "In Good Order" by LPL, the tech team will begin creation of the online profile. **Note: If form is deemed "Not In Good Order" (NIGO'ed), standard review time becomes 5 days from the submission of the corrected form.**
- 6. **NLA receives a Welcome email from LPL.** Be sure to forward this email to mduff@greatvalleyadvisors.com. This email signifies:
 - a. LPL email has been created.
 - b. DBA email has been linked to the above.
 - c. ClientWorks access has been granted.
- 7. **GVA sends required compliance forms (3) to NLA** - NLA will receive an email from an on-boarding team member to the new DBA email address. Which will contain the documents listed below. Please open the links, complete the forms within 10 days of receiving your LPL access.
 - a. Initial Disciplinary Certification Report
 - b. Initial Compliance Certification Report
 - c. Initial Personal Securities Holdings & Transaction Report

For any questions throughout the process, please reach out to us at:
operations@greatvalleyadvisors.com