GREAT VALLEY ADVISOR GROUP
REGISTERED INVESTMENT ADVISOR

GVA RIA Only Value Proposition

Custodians

LPL Financial | charles SCHWAB | SEI New ways. New answers.

GVA RIA Only Solution

GVA is happy to offer our RIA solution to advisors who choose to provide fee-only advice to their clients. Our solution was built by advisors who seek comprehensive operational support, along with multiple affiliation options.

Our ongoing compliance service allows you to consider us an extension of your company, focused on one thing, **compliance**. Our goal is to help you feel confident that you have a dedicated team of professionals focused on ensuring continuous and proactive monitoring of your business.

Annual Filings, Registrations, & Reviews

GVA conducts ongoing reviews and will ensure you maintain the appropriate registrations where appropriate.

1. Trade blotter review and detailed tracking
2. Maintenance of your IAR and DBA registrations (i.e. U4, ADV 2B)
3. Form 2A Office Registration
4. Annual State Requirements
5. IARD/CRD/E-Bill Account Management
6. Annual RIA Updates & Privacy Policy Delivery Requirement
7. Annual State Requirements

GVA Online Portal

Each advisor receives access to GVA's Online Portal. Built on the force.com platform, GVA's Online Portal is an online compliance management system used to track the IAR's activity. This system provides access to key documentation, ticket support, and access to all your clients information, including investment accounts.

Firm Valuation & Billing Software

Revolutionary financial advisor software application that allows firms to move away from excel using a solution that tracks cost, expenses, goals and buy/sell ratios for each of their advisors. One of the first RIA software systems to include custom transactional importing from multiple sources including Salesforce. Fully supports multiple rep ID splits, payout adjustments, firm level overrides, admin/program fees for money management firms, and a firm valuation report.

Advertisement Support

Providing timely turnaround on your marketing documentation is extremely important to us. We offer full support to ensure your marketing documentation is thoroughly reviewed and approved for each use.

Email Hosting & Archiving

GVA hosts all RIA Only advisors on Microsoft Exchange and utilizes Smarsh for archiving/journaling. Each user is automatically enrolled with PII encryption for sending sensitive information.

E&O Insurance

Advisors may seek their own E&O insurance, however GVA will automatically enroll any IAR who requests assistance.

Transition Services

GVA focuses on 90% in 90 days! Through our in-house technology tools, and our hands on transitions team, we make sure your transition is as seamless as possible.

Succession Planning

For advisors who join GVA, they are provided the opportunity to enter into an agreement where GVA will pay their beneficiaries an earn out based on their advisory revenue. This program is focused on helping our advisors feel confident that their loved ones and clients are taken care of should the unexpected occur.