

### PART 2B OF FORM ADV: BROCHURE SUPPLEMENT

Cody J. Kave Kave Family Financial N7W23765 Bluemound Rd. Waukesha, WI 53188 P: (262) 436-1496 <u>cody@kavefinancial.com</u> www.kavefamilyfinancial.com

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(302) 483-7200

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August 31, 2021

This Brochure Supplement provides information about Cody J. Kave (CRD#6239767) that supplements the Great Valley Advisor Group, Inc. ("GVA") Brochure. You should have received a copy of that Brochure. Please contact the GVA office at 302-483-7200 if you did not receive GVA's Brochure or if you have any questions about the contents of this supplement.

Additional information regarding Cody J. Kave pertaining to any disciplinary actions or outside business activities, if applicable, is available on the SEC's website at www.adviserinfo.sec.gov or the FINRA Broker Check website www.finra.org/brokercheck.

**DOB:** September 27, 1989

### Education:

St. Cloud State, Bachelor Degree - Business, Graduated 2012

- FINRA exams successfully passed:
  - o Series 66 Uniform Combined State Law Exam, 12/19/2013
  - Series 7 General Securities Representative Exam, 10/24/2013
  - SIE Securities Industry Essentials Exam, 10/01/2018
- Insurance Licenses: Life, Health, Variable Annuities

#### **Business Experience:**

#### Kave Family Financial Financial Advisor/Owner 08/2021 - Present

### Great Valley Advisor Group,

Investment Advisory Services, Investment Adviser Representative 08/2021 – Present

LPL Financial, LLC. Registered Representative 06/2016 - Present

### Householder Group Estate & Retirement Specialists

Registered Representative 11/2007 – 06/2021

## ITEM 3 – DISCIPLINARY INFORMATION

We must disclose any legal or disciplinary event that would be material to you when evaluating Mr. Kave. We have no such legal or disciplinary history to report to you.

## **ITEM 4 - OTHER BUSINESS ACTIVITIES**

Mr. Kave is a registered representative of LPL Financial ("LPL"), a full service brokerdealer, member FINRA/SIPC, which compensates him for effecting securities transactions.

As a broker-dealer, LPL engages in a broad range of activities normally associated with securities brokerage firms. Pursuant to the investment advice given by Mr. Kave investments in securities may be recommended for you. If LPL is selected as the broker-dealer, it may effect transactions in

securities for you, a client of GVA and Mr. Kave. By serving as the broker-dealer, LPL and Mr. Kave may receive commissions for executing securities transactions. When Mr. Kave receives commissions in connection with the advice given to advisory clients, GVA may reduce a portion of its fees by the amount of the commissions earned by Mr. Kave.

You are advised that if LPL is selected as the broker-dealer, the transaction charges may be higher or lower than the charges you may pay if the transactions were executed at other broker- dealers. You should note, however, that you are under no obligation to purchase securities through Mr. Kave, GVA or LPL.

Mr. Kave may in his capacity as registered representative of LPL, or as agent appointed with various life, disability or other insurance companies, receives commissions, 12(b) -1 fees, trails, or other compensation from the respective product sponsors and/or as a result of effecting securities transactions for you. As previously noted, when commissions or fees are received by Mr. Kave in connection with the advice given to you, he may, but is not obligated to, reduce its fee proportionate to the amount of the commission or fee earned by him.

Mr. Kave holds an insurance license to sell limited insurance products. It is anticipated that 10% of his time will be spent providing these insurance products. He may receive compensation from selling insurance products and therefore receive economic benefit for this activity.

# ITEM 5 - ADDITIONAL COMPENSATION

The above business associations do not provide any additional compensation other than as described in the GVAG's Form ADV 2A.

# ITEM 6 - SUPERVISION

Mr. Cody J. Kave is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer, Ryan C. Todd who is responsible for

administering the policies and procedures. Mr. Todd reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed.

**Ryan Todd's contact information:** Ryan C. Todd Chief Compliance Officer (302) 483-7200 rtodd@greatvalleyadvisors.com