Compiling AUM Data for ADV Filing is a Snap with Orion's ADV Dashboard

Spring is here! Flowers are blooming, bees are buzzing, and the sun is shining. It's also time to file your ADV, hooray! Whether you've already filed or are still working on it, don't worry. With help from Orion's ADV Dashboard, gathering client AUM data, a huge piece of the puzzle, can be easily calculated. Rather than searching multiple spreadsheets, the ADV Dashboard can automatically gather all your client AUM data in one place. This will help to greatly reduce time spent gathering figures and can decrease the chance for human error.

What?

The ADV Dashboard within the Orion Compliance app is a tool designed to track your firm's client AUM. When filling out your ADV form, the SEC requires you to report client AUM based on client type, percentage of AUM, and custodian. Rather than running through different programs or spreadsheets, the ADV dashboard provides all these items in one easy-to-read report.

How?

To use the ADV Dashboard, navigate to the compliance app on the Orion Connect portal. Once the compliance app is launched, navigate to the left-hand side of the screen. From there you will see several menus starting with "Inform", "Supervise", and next "Disclose." Click on the "ADV Dashboard" under the "Disclose" menu.

This will display your firm’s asset information in a variety of styles including regulatory AUM, discretionary AUM, AUM by client category, and many other options. When you’re ready to file your ADV you can use this quick reference to fill in your AUM categories in just a few minutes!

Now that you’ve simplified the ADV filing process, you can get back to what you do best, meeting with clients and building relationships!

If you have questions or need help navigating the Compliance app, contact Orion Compliance via Chat, email (compliance@orionadvisor.com), or phone (402.313.4168).

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