

Great River Financial LLC

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Form ADV Part 2B – Brochure Supplement

For

Joshua Wolberg 5004871

President and Chief Compliance Officer

This brochure supplement provides information about Joshua Wolberg that supplements the Great River Financial LLC (“GRF”) brochure. A copy of that brochure precedes this supplement. Please contact Joshua Wolberg if the GRF brochure is not included with this supplement or if you have any questions about the contents of this supplement.

Additional information about Joshua Wolberg is available on the SEC’s website at www.adviserinfo.sec.gov which can be found using the identification number 5004871.

Item 2: Educational Background and Business Experience

Joshua Wolberg

Born: 1977

Educational Background

- 1999 – B.S., Computer Science, South Dakota State University
- 2003 – M.B.A., Finance, University of Minnesota

Business Experience

- 02/2021 – Present, Great River Financial LLC, President and CCO
- 12/2014 – Present, Resources Investment Advisor, LLC, Investment Advisor Representative
- 10/2011 – Present, Channel Financial, Financial Advisor
- 02/2017 – 08/2018, Triad Advisors, LLC, Registered Representative
- 02/2010 – 03/2017, LPL Financial, Registered Representative

Professional Designations, Licensing & Exams

CFP (Certified Financial Planner)®: The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with Clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and Client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real-world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and

- Ethics – Agree to be bound by CFP Board’s *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and

- Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The *Standards* prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their Clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Item 3: Disciplinary Information

No management person at Great River Financial LLC has ever been involved in an arbitration claim of any kind or been found liable in a civil, self-regulatory organization, or administrative proceeding.

Item 4: Other Business Activities

Joshua Wolberg is currently employed as an independently contracted investment adviser representative at Resources Investment Advisors. This position accounts for approximately 40 hours of his time per week.

Item 5: Additional Compensation

Joshua Wolberg does not receive any economic benefit from any person, company, or organization, in exchange for providing Clients advisory services through GRF.

Item 6: Supervision

Joshua Wolberg, as President and Chief Compliance Officer of GRF, is responsible for supervision. He may be contacted at the phone number on this brochure supplement.

Item 7: Requirements for State Registered Advisers

Joshua Wolberg has NOT been involved in an arbitration, civil proceeding, self-regulatory proceeding, administrative proceeding, or a bankruptcy petition.