**Instructions For Seminar Kit Usage & Submission To Compliance:**

1. **NOTE: These templates are NOT approved “As Is” for Hybrid RIA advisors. Please contact FRG marketing (****marketing@lplatfrg.com****) for assistance to create a Hybrid RIA version of the seminar kit or it you have any other questions about the content.**
2. **ALL Templates Need Appropriate Disclosures Added. You can use the disclosure language that is used on your approved email signature. (NOTE: IS advisors must also use the boxed disclosure).**
3. You can preview the content of the presentations by clicking on the thumbnail images at the top of each kit description. It will open a link to a pdf.
4. Select the appropriate seminar kit option based on your registered status: **Institution Services (IS) or Independent Advisor Services (IAS).** **Download** the seminar kit files and save them to a designated project folder on your computer. **(FINRA Letters, Email Invite, Workbook, and PowerPoint).** We recommend you create a folder on your desktop with the name of the presentation you have chosen and save the project files in there. **\* *SAVE the Tracking Number assigned to the Presentation Kit with the files you have downloaded – You will need this later.***
5. **PREPARING YOUR PRESENTATION**
	* **NOTE: You can only use the LPL Financial Logo on the presentations.**
	* **NOTE:** The content of the presentation is preapproved and **cannot** be edited except for the following:
		1. Add the advisor’s **REGISTERED** contact information, to the front page. (Name, Title, email and phone)
		2. **Add the required disclosure verbiage to page two**
6. **PREPARING YOUR WORKBOOK**
	* **NOTE:** **Appropriate disclosures must be added to the last page.**
	* If you have Adobe Acrobat Pro you should be able to add your contact information to the first page and the disclosure to the downloaded document.
	* If you need assistance, forward the workbook to FRG marketing (marketing@lplatfrg.com). We will update the document with the required information and disclosures.
7. **PREPARING YOUR EMAIL INVITATION – For use with your LPL approved email signature**
* Update the Event Time/Date and Advisor info with the appropriate information on the invitation Word Doc SAVE.
* If you don’t plan to use the workbook as a handout, you can delete the optional workbook copy at the bottom of the email.
* You can add additional links in the Contact or RSVP Information (ZOOM, GO-TO Meeting etc..) .
* Once updated, copy and paste the entire email invitation from the Word document into a new email using your approved email signature. You are ready to send out your invitation to your clients.
1. **OPTIONAL FLYER INVITATION AVAILABLE**
* A format of the invitation is available in a flyer format. This format can be used as a handout or as a landing page to advertise the event on your website. We are happy to format this for you with your contact information, photo and DBA logo. We can also share the art file for those with advisors who have marketing staff available to help. If you need assistance contact FRG marketing (marketing@lplatfrg.com) and provide the EXACT NAME for the seminar kit you are using.
1. **SUBMISSION TO COMPLIANCE**
	* Once your kit is personalized you will need to submit the kit as **“Preapproved”** for record retention. Refer to the tracking number assigned to the project name on the Website.
	* Upload all of the components you have chosen to use for your seminar event to CMAX and include the event date(s):
		+ - **PowerPoint with your contact information added**
			- **Workbook with correct disclosure added**
			- **Email formatted for Invite with details added**
			- **PDF of the final invitation flyer with details added**
			- **List of Invitees (Note: after the event you MUST ADD a final attendee List to the “preapproved” project that was submitted to CMAX for record retention**