LPL LEARNING CENTER TRAINING

Required PRIOR to registration transition to LPL (accessed via a specific link, instructions, username and password, which the LPL Onboarding Consultant will provide): *(85 minutes total)*

- Branch Office Security Policy — 15 minutes
- FINRA 2273 — 10 minutes
- Trade Activation — 45 minutes
- Annuity Activation* — 15 minutes

Required PRIOR to conducting business/specific business, but not before registrations transition: *(140 - 170 minutes total)*

- Social Media & Electronic Communications — 10 minutes
  Required for Social Patrol
- Building Investment Portfolios — 20 minutes
  Required for full discretion
- New Account Opening Fundamentals — 30 minutes
- ClientWorks: Account Transfers — 30 minutes
- Processing Move Money Requests — 30 minutes
- Structured Products Training — 20 minutes
  Required activation course for anyone who plans to trade Market-Linked CDs or Structured Notes
- *Cryptocurrency – Related Products Training — 30 minutes*
  Required course for anyone who plans to purchase Cryptocurrency-Related Products

Required within 60/90 days of Registration with LPL: *(150 minutes total)*

- Regulation Best Interest (RegBi) — 45 minutes
- Working with Senior and Vulnerable Investors — 30 minutes
- Anti-Money Laundering and Financial Crimes — 30 minutes
- Security & Privacy — 45 minutes
- Ethics Training*

Additional, suggested training modules: *(These can be added to a pre-transition profile, if requested)*

- ClientWorks Simulations *(Strongly encouraged – Plan to spend at least 90 minutes on each part)*
  - Part 1: Doing Business with ClientWorks
  - Part 2: Managing Business with ClientWorks
- AccountView – Getting Started** — 30 minutes
- New Account Opening (NAO) 2.0 — 15 minutes
- Enhanced Trading (SAM/SWM) — 60 minutes
- Model Management & Rebalancing — 75 minutes
- ClientWorks Corner (Videos, How-to-guides & Courses)
  - Client Management
  - Account Management
  - Account Opening
  - Compliance
  - Trading
  - Reporting
  - Move Money
- ClientWorks Client Management Overview (30 minutes) – basic navigation, accessing tools, details on each tab
- Navigating Customer Relationship Management (10 minutes) – for programs/advisors that are going to use the ClientWorks CRM (Dynamics) vs. Salesforce or Red Tail

**As applicable*

*** Suggested after new accounts are opened and assets have transitioned to LPL. Setting clients up with access before their accounts are funded can cause confusion for clients, when they see an account balance of $0.*