LPL OFFICE ESSENTIALS

CONTENT

WE BELIEVE IN

YOUR SUCCESS

Successfully administrating an advisor's office or institution requires precision, dedication, and continuous learning. Office Essentials is an online educational program, intended to help you accomplish just that. This program consists of progressive learning plans, designed to build your knowledge and confidence to manage operations successfully, improve business processes, and drive value.

Office Essentials allows you to customize your learning journey by selecting learning plans and courses best suited to your role. You will have the opportunity to expand your knowledge in the areas of client service, office management, technology, marketing, and professional development. Leverage this program to increase your job proficiency and sharpen your professional skills.

Contained in Office Essentials is our new **Office Professionals Certification**. This five-module program focuses on operational processing and professional development. Obtaining this certification shows an office professional's dedication to their role and their ability to use ClientWorks.

HOW YOU'LL BENEFIT

If you're looking to more effectively administer an advisor's office, this program is for you. Licensed and unlicensed sales assistants, office managers, operations managers, and support staff will learn valuable skills from this program.

Improved Performance, Productivity & Efficiency

Established Goals for Advancement

Increased Client Satisfaction

Streamlined Processes

Enhanced Communication

Increased Engagement

ENROLL TODAY

Enroll in Office Essentials through ClientWorks.
From the ClientWorks Menu > select Tools > select Learning Center or From the Resource Center home page > select the Learning Center. Once in the Learning Center home page >select Browse > Office Essentials and register for the learning paths.

- Office Professional Certification
  - Level 1: Building Your Knowledge With Opening Accounts and ClientWorks
  - Level 2: Account Transfers and Cashiering
  - Level 3: Registrations and Commissions
- Industry Basics
- Required Activation Courses
- Social Media and Compliance
- Professional Development

SUPPORT

If you have questions or need assistance, please contact:
Client.Training@lplfinancial.com

LEARNING PLANS

In order to receive certification of completion, you must complete the three Office Professional Certification plans, the Social Media and Compliance plan and the Professional Development Plan. Industry Basics and the Required Activation Courses are available as needed for you and your specific role.

01 Office Professional Certification | 27 courses | 11 Hours

This part of the certification provides the fundamentals needed to become proficient in processing business through ClientWorks. There is a certification requirement at the end of each module.

- Office Essentials Office Professionals Certification Level 1 Building Your Knowledge With Opening Accounts and ClientWorks.
  12 Modules | 5 Hours

- Office Essentials Office Professionals Certification Level 2 Account Transfers and Cashiering.
  8 Modules | 4 Hours

- Office Essentials Office Professionals Certification Level 3 Registrations and Commissions
  6 Modules | 2 Hours

02 Industry Basics | 11 courses | 3 Hours

This path covers basic securities and financial topics to help you gain confidence while you familiarize yourself with information and terms used in the financial services industry. You can expect to spend 15–25 minutes per course.

03 Required Activation Courses | 8 Courses | 6 Hours

This path includes the courses that are required to gain access to specific functionality, such as trading, annuities, and other security processing in ClientWorks. You can expect to spend 15–60 minutes per course.

04 Social Media and Compliance | 5 Courses | 2 Hours

This path provides information about Social Patrol – required marketing training if you will be posting information on social media platforms like LinkedIn. The compliance training provides insight into Compliance Max – used to submit articles, presentations, etc. for compliance approval.

05 Professional Development | 8 Courses | 6 Hours

This learning path consists of courses that cover enhancing client service, increasing efficiency, leadership, and problem solving in the workplace. You can expect to spend 15-60 minutes per course.

COURSE CATALOG

OFFICE PROFESSIONAL CERTIFICATION LEVEL 1

SESSION	TIME
Welcome to the Office Professionals Certification Program Level I This short welcome video provides an overview of the LPL Office Professionals certification process and information needed to set you up for success as you complete module one.	15 MIN
Before You Begin Knowledge Check Check your current knowledge of section one information. Whether you are new to your role or experienced, this quick assessment will enable you to better evaluate and track your proficiency progression.	15 MIN
Learn how to navigate ClientWorks, your LPL Financial Technology Platform This course will walk you step by step through how to navigate ClientWorks and the most efficient ways to find client, account and other key information critical in servicing your clients.	30 MIN
Accessing ClientWorks' Resource Center: Your Source of Critical Operational Procedures, Updates, and Timely Information Learn the key areas of the Resource Center to find important information, guidance on common processes and questions, and timely updates in order to stay well informed and educated on timely topics.	15 MIN
Opening New Accounts and Processing New Account Paperwork in ClientWorks This course will take you through the process of opening new accounts and preparing account documents for either electronic signature or in-person signatures in ClientWorks. Plus learn tips and tactics to help ensure that account information is in good order the first time it is submitted for processing.	20 MIN
New Account Documents Using Electronic Signature Knowledge Check This interactive exercise lets you test your understanding of processing account paperwork using electronic signatures building ease and efficiency into your new account workflows for your clients and your office.	10 MIN
How to Identify and Resolve Account Restrictions Guide This important guide is a must have resource to read, print and have close at hand to reference why a restriction may be placed on a new or existing account, how to identify if an account has a restriction, and how to best resolve and remove a restriction should one occur.	10 MIN
How to Access and Read a Client Account Statement This course provides information to help you support your clients as they maneuver through monthly or quarterly LPL account statements and shows you how to access account statements in ClientWorks.	15 MIN
How to Update Account Information After the Account is Opened Frequently client circumstances require the need to update account information after an account is established. Learn how to update client or account information to accommodate life situations such as a change of address, marriage, divorce, death, or suitability and financial information in addition to other common account updates.	30 MIN

COURSE CATALOG

OFFICE PROFESSIONAL CERTIFICATION LEVEL 1

SESSION	TIME
Learn About Advisory Account Types and Why These Account Types Are Important for Your Clients This course provides an introduction to LPL's Advisory Platforms and the different types of advisory accounts that can be established through the ClientWorks new account opening or account conversion process.	15 MIN
Attend ClientWorks Fundamentals Day 1: Getting Started Live Webinar and QA Session This session provides you with the opportunity to go live with subject matter experts and peers for a deeper discussion and QA session on Navigation ClientWorks and the Resource Center, Opening New Accounts, Tracking Business and Updating Accounts providing the opportunity to get all of your questions answered. Offered twice per month, select the most convenient date and join your peers for an engaging review that will help solidify Track I Certification material and offers additional operational tips and best practices.	60 MIN
Final Module One Knowledge Check and Certification Completion Check your knowledge and gain your LPL Office Professionals Module One Certification. 80% pass rate is required to gain credit for completion.	20 MIN

COURSE CATALOG

OFFICE PROFESSIONAL CERTIFICATION LEVEL 2

SESSION	TIME
Welcome to the Office Professionals Certification Program Level 2 This short welcome video provides an overview of the LPL Office Professionals Certification Program Module Two certification process and information needed to set you up for success as you complete module two.	15 MIN
Before You Begin Knowledge Check Check your current knowledge of section two information. Whether you are new to your role or experienced, this quick assessment will enable you to better evaluate and track your proficiency progression.	15 MIN
What is an Account Transfer and How to Complete an Account Transfer for both ACAT and Non-ACAT Transactions Learn the different ways that investment account assets are transferred between financial services firms. This course covers in detail what ACAT and Non-ACAT transfers are, how to complete both types of transfer requests, and how to track both incoming and outgoing account transfers in ClientWorks.	30 MIN
Cashiering in ClientWorks: How to distribute cash and transfer funds in and out of LPL Accounts using the ClientWorks Move Money Tool This comprehensive course walks through the various ways to transfer cash in and out of accounts such as distributing checks to your clients, setting up ACH so that money can move easily between LPL accounts and bank accounts, wiring money to a bank, and how to journal cash between accounts for both retirement and non-retirement accounts.	30 MIN
Why Convert One Type of Account to a Different Type of Account and How to Process the Account Conversion Learn which accounts can be converted to a different account type that allows account holders to maintain the same account number, account history, and performance tracking and how to process the request using ClientWorks' Account Conversion Tool. In addition, learn how to process and convert dormant accounts and track your account conversion status through completion.	30 MIN
How To Manage and Service an Account When an Account Owner Passes Away This course provides you with specific instructions to follow when a client passes away and assists you through the process of managing the death of a client to ensure that assets get transferred or distributed without delays for the account beneficiaries.	30 MIN
Attend ClientWorks Fundamentals Day 2: Managing Your Accounts Live Webinar and QA Session This session provides you with the opportunity to go live with subject matter experts and peers for a deeper discussion and QA of Module Two Certification material providing the opportunity to get all of your questions answered. Offered twice per month, select the most convenient date and join your peers for an engaging review that will help solidify learnings and offer additional operational tips and best practices on Cashiering and moving money to and from accounts, plus how to process checks.	60 MIN
Final Module Two Knowledge Check and Certification Completion Check your knowledge and gain your LPL Office Professionals Module Two Certification. 80% pass rate is required to gain credit for completion.	20 MIN

COURSE CATALOG

OFFICE PROFESSIONAL CERTIFICATION LEVEL 3

SESSION	TIME
Welcome to the Office Professionals Certification Program Level 3 This short welcome video provides an overview of the LPL Office Professionals Certification Program Module Three certification process and information needed to set you up for success as you complete module three.	15 MIN
Before You Begin Knowledge Check Check your current knowledge of section three information. Whether you are new to your role or experienced, this quick assessment will enable you to better evaluate and track your proficiency progression.	15 MIN
How to Process Insurance Licensing and Appointments This course provides information on insurance licensing and how to process state licensing appointments with various insurance companies for the insurance licensed professionals in the office or institution. This includes where to locate and process forms and find key contacts for insurance licensing assistance.	15 MIN
How to Process Security Licensing and Investment Advisor Representative (IAR) Registrations This course provides information on security licensing registration and how to request new securities registration requests by state. It also describes the licensing requirements for Offices of Supervisory Jurisdiction (OSJs) for those offices having supervisory responsibilities for licensed financial professionals and branch offices.	15 MIN
Better Understand and Answer Questions on LPL Account Commission and Revenue Billing Become proficient in answering frequently asked client and financial advisor questions on account commission and revenue details by using the key resources available such as the Commission Pay Cycle FAQ, the Commission Statement FAQ, and how to use the Commission Calculator among other helpful tools and resources.	30 MIN
Final Office Professionals Certification Module Three Knowledge Check and Certification Final Check your knowledge and earn your Office Professionals Module Three Certification. 80% pass rate is required to gain credit for completion.	20 MIN

COURSE CATALOG

INDUSTRY BASICS

SESSION	TIME
Get to Know the Industry Learn about the financial services industry and the role LPL Financial plays in it. This interactive course will deepen your knowledge about the industry	15 MIN
The Broker/ Dealer Learn about the role of a broker/dealer, types of broker/dealers, and how LPL operates as a broker/dealer.	15 MIN
Rules and Regulations Learn about the regulatory agencies and rules that guide us in our daily interactions. This course will introduce you to the SEC, FINRA, MSRB, Blue Sky Laws, and Compliance.	15 MIN
LPL Product Structure This course introduces you to various LPL platforms, account types, and classes, and will help you identify the primary differences between advisory and brokerage business.	15 MIN
Stocks Stocks and the markets they trade in play an important role for our industry and the economy. This module will introduce you to the basics, including why companies issue stock, how they trade on the market, and the role they can play in a client's portfolio.	15 MIN
Bonds This module introduces you to the basics of bonds, how they are rated, and the advantages and disadvantages of bonds.	15 MIN
Mutual Funds This course will introduce you to what mutual funds are and how they work.	25 MIN
Annuities Annuities play a significant role for many investors. Learn the basics of annuities and how they may fit into an investor's overall portfolio.	15 MIN
Insurance At LPL, we provide our customers with access to a full range of life insurance solutions. This course introduces you to life insurance, structured settlement, and long-term care insurance.	15 MIN
Alternative Investments Please complete courses 1–4 before taking this module. Alternative investments offer clients an additional way to invest. Learn about the basics of two types of alternative investments: REITs (real estate investment trusts) and equipment leasing.	15 MIN
Retirement Planning Please complete courses 1–4 before taking this module. This course will introduce you to the basics about retirement planning and some of the accounts available.	15 MIN

COURSE CATALOG

REQUIRED ACTIVATION COURSES

SESSION	TIME
ClientWorks: Annuity Order Entry (AOE) Activation Only needed if you will be processing annuity paperwork using the Annuity Order Entry Tool in ClientWorks. This course covers pertinent regulatory information surrounding variable annuities, the benefits of annuities, and the steps involved in processing online annuity orders, as well as the various areas within ClientWorks where you can view and present annuity contract information.	30 MIN
Trading Policies and Procedures Only needed if you will be placing trades and/or need to access the trading tools in ClientWorks. Gain a better understanding of how LPL Financial policies and procedures affect various trading activities and their related accounts. The following policies and procedures will be reviewed: restricted accounts, prohibited trading activities, options, structured products, equity concentration, low priced positions, and additional trading considerations.	15 MIN
Trade Activation: Order Placement and Tracking Only needed if you will be placing trades and/or need to access the trading tools in ClientWorks. Become familiar with entering and managing client trades. This course walks through completing different types of trades (mutual funds, equities, and options) as well as tracking and managing orders. This training course is mandatory for all users who access the ClientWorks trading platform.	45 MIN
Non-Traded REITS This course examines non-traded real estate investment trusts (REITS) and discusses important product distinctions and information. This course has a $10 fee.	30 MIN
ClientWorks: Alternative Investment Order Entry (AIOE) Alternative Investment Order Entry (AIOE) is an electronic solution for submitting new alternative investment (AI) order instructions and managing in-process orders. This training explains and demonstrates how AIOE allows you to accomplish the same tasks in an electronic environment, while providing oversight tools for the home office.	30 MIN
Enhanced Trading Only needed if you will be using Enhanced Trading to trade Strategic Asset Management (SAM) or Strategic Wealth Management (SWM) accounts. With Enhanced Trading and Rebalancing—an integrated, single-platform solution for your advisory business—you can react to rapid market changes, flawlessly executing trades across multiple advisory accounts at one time. This course is required to gain access to Enhanced Trading considerations.	60 MIN
Model Management and Rebalancing Only needed if you will be using Enhanced Rebalancing to rebalance Strategic Asset Management (SAM) or Strategic Wealth Management (SWM) accounts. This course is designed to show you how to effectively create models, associate accounts to models, quickly rebalance accounts, manage orders, and run various drift reports, all within the integrated Enhanced Trading & Rebalancing platform. This course is required to gain access to the Rebalancer Tool within Enhanced Trading.	45 MIN

COURSE CATALOG

SOCIAL MEDIA AND COMPLIANCE

SESSION	TIME
Social Media Learn important information for all business-related social media use. Learn to differentiate between personal and business-related social networking, and static and interactive content. Also learn about content standards and how to implement best practices for using social media safely and effectively.	30 MIN
ComplianceMAX: Advertising Review ComplianceMAX is LPL Financial's system for submitting marketing material online for the Marketing Regulatory Review (MRR) department to approve. This course discusses how to access and navigate ComplianceMAX, submit materials for MRR approval, and check the status of your submissions.	20 MIN
ComplianceMAX: Designations and Titles This course will provide you with an introduction to the ComplianceMax tool and how to use it to submit a professional designation or title for MRR approval.	20 MIN
Compliance Overview This course is designed for OSJ Managers, but it contains great information that will help you understand regulatory record-keeping requirements. It will provide a compliance overview regarding LPL Financial policies and procedures to assist OSJ managers with record-keeping requirements and paperwork. Recommended for all OSJ managers, delegates, advisors, and office staff.	25 MIN
A Compliance View of Advisory and Brokerage Services Learn about the regulatory differences between advisory and brokerage business.	15 MIN

COURSE CATALOG

PROFESSIONAL DEVELOPMENT

SESSION	TIME
Telephone Etiquette: Essential Skills for Professional Telephone Calls In this growing electronic age, we often forget how important it can be to have simple telephone etiquette. Outside the realm of texting and emails, many people still use the telephone as a primary source of communication. Knowing the proper etiquette and procedures for speaking with someone on the telephone can show a great deal of professionalism as well as social knowledge.	60 MIN
Client Service: When 99.9% Isn't Good Enough Review four basic service principles and a set of 10 client service rules. You will also learn how to apply a five-step approach for handling an upset client.	15 MIN
Time Management: Quit Making Excuses and Make Time Instead Discover ways to improve your time management skills in this self-paced workshop.	30 MIN
Business Etiquette: Professionalism and Personal Accountability Success in any industry relies on relationships, whether with co-workers, clients, suppliers, or investors. When you're well-mannered and considerate in dealing with others, you create engaging, productive, and long term business relationships. This workshop will introduce participants to business etiquette, as well as provide guidelines for the practice of business etiquette across different situations.	60 MIN
Self Leadership As we grow, we learn to become leaders. Being a leader is natural for some, and learned for others. No matter how we have become a leader, it is important to remember we must lead ourselves before we lead others. Take the time to motivate yourself and realize that you can do it in this workshop.	60 MIN
Personal Productivity Most people find that they wish they had more time in a day. This workshop will show participants how to organize their lives and find those hidden moments. Participants will learn how to establish routines, set goals, create an efficient environment, and use time-honored planning and organizational tools to maximize their personal productivity.	60 MIN
Improving Self-Awareness: Getting Results Without Direct Authority A vital way of becoming more effective in both business and life is by becoming more self-aware. If you can become aware of your self - your strengths and your weaknesses - then, you can become aware of the effects you create. Only once you know your effects can you know how to change them, or even whether you should. Implementing the guidelines in this module is the first step in a continual process of deepening your awareness of your self and the effects you create.	60 MIN
Creative Problem Solving In the past few decades, psychologists and business people alike have discovered that successful problem solvers tend to use the same type of process to identify and implement the solutions to their problems. This process works for any kind of problem, large or small.	60 MIN