Onboarding Process Guide: Non-Licensed Assistant

Step 1: Determine the Desired Start Date

- Review/approval and systems access typically take 10 business days after receipt of fingerprints and an in-good-order application: RE-F635-REG* Memorandum for Non-Licensed Assistant. If an enhanced compliance review is required, processing could take an additional 10 business days.
- Choose a start date that allows enough time for application approval as well as preparing the assistant's computer equipment, stationery, and technology needs

Step 2: Considerations Before Completing the Application

Equipment
Existing Computer: If using a computer previously set up by FRG IT, a new user profile will be created, and compliance settings will be reviewed. Schedule an appointment with FRG IT here: Computer Setup Appointment (typical appointment takes ~1.5 hours) New Computer: Call FRG IT at 704-816-8005 to discuss equipment requirements and schedule a Computer Setup Appointment (typical appointment takes ~3 hours). All new computers must be set up by FRG IT before engaging in any LPL/FRG business.
Email
If your practice uses a DBA email, determine assistant's DBA email address based on your practice's naming convention, and if it will be their primary email address.
Additional Access / Advisor Authorization
Identify all Advisors & Rep IDs the assistant will need access to, including any split or secondary IDs. Determine the features the assistant will need. Typical features include Account Data & Client Statements. Commission-related features are at the advisor's discretion.

*Always pull the most recent forms from the LPL Resource Center

4.25.25

Step 3: Complete the RE-F635-REG* - Memorandum for Non-Licensed Assistant

Section 1: Basic User Information

- Enter the supervising advisor's Master Rep ID
- Enter assistant's personal information including a text enabled cell phone number and assigned office phone number or main number for their branch
- Branch Manager/OSJ = Steve Lank
- Applicable OSJ Rep ID/OSJ Branch ID = P32P/38W0 or 91YP/16H4
- Answer No if assistant is only supporting one or multiple advisors within the same DBA office; answer Yes if assistant is supporting any other LPL offices (if Yes, Section 8 must be completed)
- Role = NLA/NRP (unless assistant is a Non-Registered Program Manager at an institution)
- Office Contact information = DBA/Practice name, branch address, phone #, and point of contact
- Office = Existing; Is Personnel located in a Non-OSJ office = YES; Non-OSJ Office ID = the branch ID assistant will be located in
- List assistant's supervising advisor's name and Master Rep ID
- Read the permitted and prohibited activities and answer both questions

Section 2: Disclosure Questions - Answer all (any Yes answers require explanation)

Section 3: Ten-Year Employment History – Must have zero gaps and include all activities (working, non-working, school, homemaking, etc.) through present day

Section 4: User Agreement - Attest to terms and sign the agreement

Section 5: Technology Request

- Specify Full or Basic Access (Note: must choose Full access to obtain ClientWorks Client Management and Trading)
- If using a DBA email, mark Yes and specify if it will be the primary email

Section 6: Additional Access Request - List all Rep IDs and advisor names the assistant will need access to

Section 7: OSJ or Sponsoring Advisors - Leave this blank; FRG will sign

Section 8: NLA/NRP Supporting Multiple Offices - Complete only if applicable

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Step 4: Fingerprints - Assistant must complete the process as outlined in Sections 11 & 12 of the F635 before returning the application to FRG

Step 5: Submit the Completed F635 - Email to Onboarding@lplatfrg.com indicating the desired start date and the date fingerprints were completed

Step 6: Prepare Marketing Materials – Email FRG Marketing for assistance: Marketing@lplatfrg.com

- Stationery includes email signature (required by LPL) and business cards or other branded materials, if desired
- Determine Name & Contact Info: How will name appear on stationery (given vs. preferred name, suffixes, etc.)? What is the branch address? Phone number?
- Determine Title/Designations: Use the Resource Center to confirm viability of desired title and any designations that should appear on stationery
- Create Mock-Ups: Submit to A.R.T. for approval
- Order Printed Materials: After approval, order printed materials via Marketing-On-Demand or a local print vendor

Step 7: Prepare Supplemental Technology Forms* - Certain tools require forms to be submitted post-join. Common requests include:

- Client Reporting, Portfolio Review Tool, Remote Deposit Tool: RE-CWARP
- Albridge: F465
- WealthVision: Apply online via the Resource Center
- LPL CRM: RE-F796 (Note: Redtail, Salesforce, or Wealthbox require direct setup with the vendor)
- MyRepChat: RE-F813 For assistants to text as themselves. To text on behalf of advisor(s), advisors must go to the MyRepChat App: Settings > Add Additional Login
- Shared Resources: RE-BNEMAIL-AB for office mailboxes, printers, etc.
- Email Journaling: RE-BNEMAIL-J. Not required if your DBA email is hosted by LPL

Step 8: Approval - LPL Registrations does not send approval notifications. Instead, LPLs Client Technology Management will send the following emails once assistant is approved:

- Additional Access Confirmation: Lists all Rep IDs and features provisioned
- Email Account Information 1: Activation for LPL.com email & Outlook
- Email Account Information 2: LPL.com email Password
- NLA Technology Activation Bundle: Activation confirmation & training details

Step 9: Finalize Onboarding

- Submit any supplemental technology forms (from Step 7) directly to LPL
- Disclose Outside Investment Accounts within 10 days of joining
- Complete all supplemental training:
    - Trade & Annuity Activation (if applicable)
    - FRG Compliance Training (due within 60 days)
    - FRG Advisor Overview – register here: FRG Advisor Overview Training

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