SUBMITTING YOUR PERSONAL PROFILE

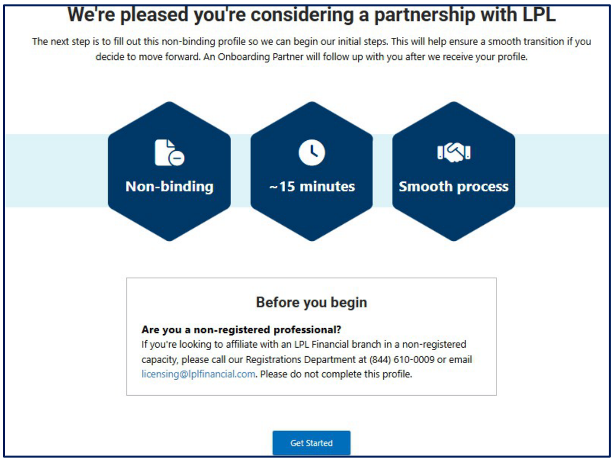
OVERVIEW

Use this guide to navigate the profile submission process through https://onboard.lpl.com .

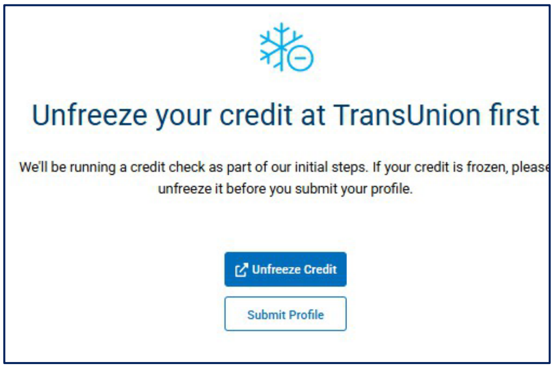
IMPORTANT

- If your credit is currently frozen, stop here and unfreeze your credit before returning to the application.
- This form is not intended for non-licensed staff; it is only for registered applicants or those wanting to become registered.

1. From https://onboard.lpl.com, select **GET STARTED**.

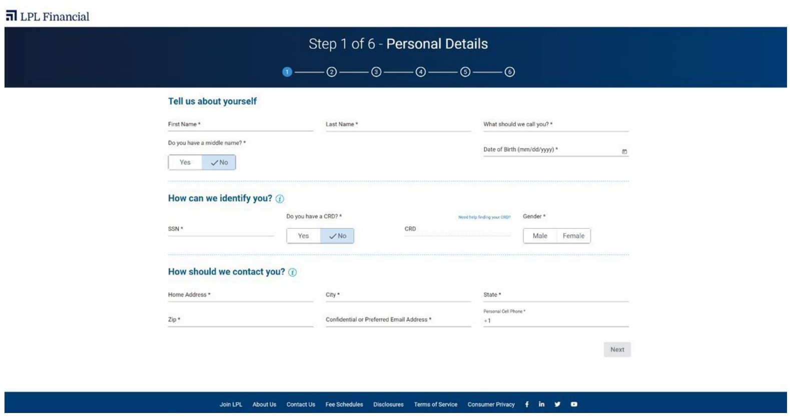


2. Next you are reminded to unfreeze your credit if frozen with a link directly to TransUnion to complete the task

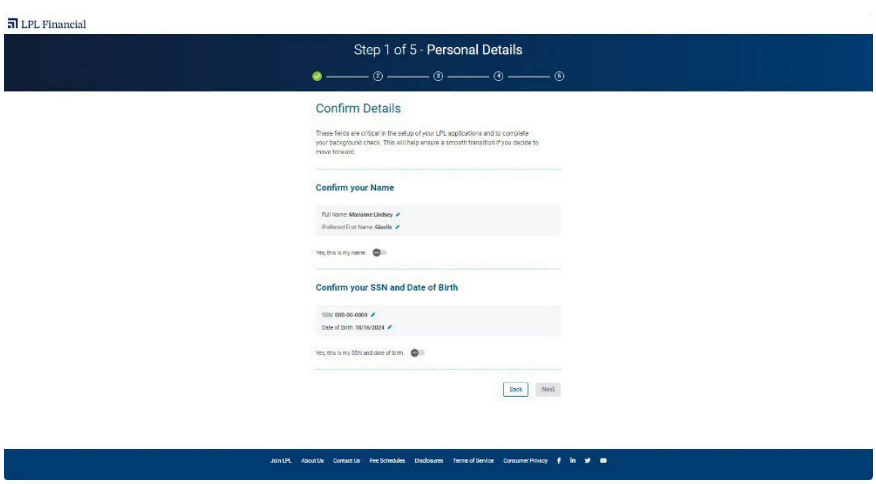


SUBMITTING YOUR PERSONAL PROFILE

3. For step 1 of the 5-step, non-binding profile application, complete your personal information. It is very important to use a **personal email address** and not one affiliated with your current broker-dealer or employer.

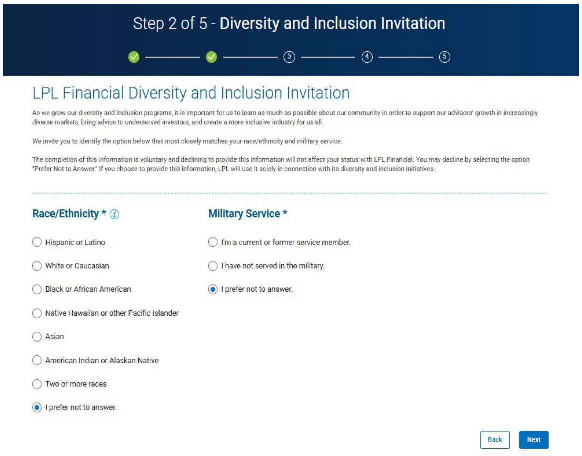


4. Next a confirmation page is presented to be sure your personal information was accurately entered. If everything looks good, toggle the two buttons to Yes. If you need to make any changes, just click the pencil next to be taken back to step one to make the changes.

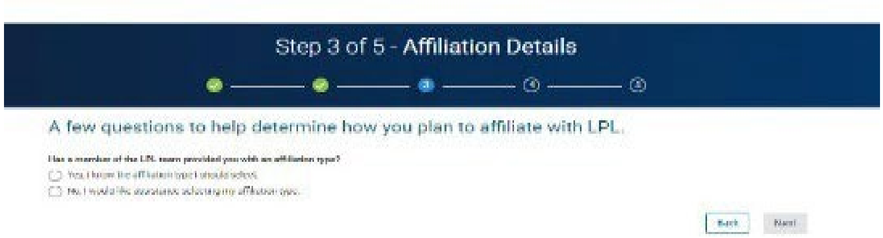


SUBMITTING YOUR PERSONAL PROFILE

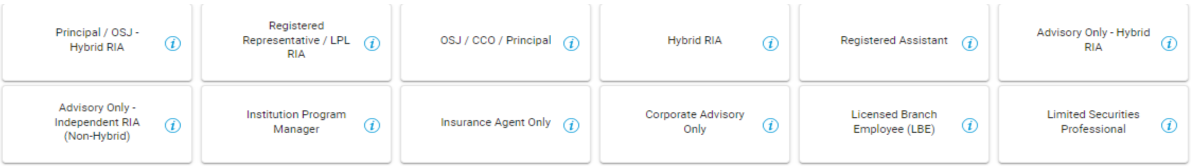
5. Complete the LPL Financial **diversity and inclusion invitation.** A choice is required, however "I prefer not to answer" is acceptable.



6. Complete the **affiliation details.** Should you need support, leverage the guiding questions to determine the appropriate selection.



*If you are confident in your affiliation type, select **YES** and then choose from one of the twelve affiliation options.



SUBMITTING YOUR PERSONAL PROFILE

Affiliation Details Continued

However, if you are unsure, select **NO** to leverage guided assistance to help decide. Definitions of the twelve affiliation types are listed below.

- ***Principal/OSJ – Hybrid RIA -*** an OSJ for a hybrid RIA who will perform the supervisory responsibilities for that RIA firm, including any other producing advisors joining that RIA
- ***Registered Representative/LPL RIA*** – a registered representative under LPL's Corporate RIA
- ***OSJ/CCO/Principal*** – an OSJ who will perform the supervisory responsibilities for the producing advisors joining the newly established business under LPL's corporate RIA
- ***Hybrid RIA*** – a registered representative with securities licenses held with LPL and an IAR license held with an independent Hybrid RIA
- ***Registered Assistant*** – a registered administrative assistant under LPL's corporate RIA, a hybrid RIA or Bank
- ***Advisory Only/Hybrid RIA*** – an independent hybrid RIA with only a Series 65 or equivalent license, and assets are custodied at LPL
- ***Advisory Only/Independent RIA/Non-Hybrid*** – no affiliation to the LPL broker-dealer, assets are custodied at LPL under an independent RIA
- ***Institution Program Manager*** – manage a bank or credit union
- ***Insurance Agent Only*** – insurance only, no securities or IAR licenses
- ***Corporate Advisory Only*** – LPL's corporate RIA and hold only a Series 65 or equivalent
- ***Licensed Branch Employee (LBE)*** – licensed employee of a bank or credit union
- ***Limited Securities Professional*** – a licensed CPA, attorney etc. under the Professional Referral Network

SUBMITTING YOUR PERSONAL PROFILE

Affiliation Details Continued

Depending on the affiliation type selected, complete the additional questions.

Do you plan on affiliating with LPL as part of a Financial Institution (a Bank or Credit Union), that is or will be associated with LPL? *

Yes No

Have you resigned or terminated your affiliation with your current broker/dealer or RIA in the past 30 days? *

Yes No

If you are still with your Broker/Dealer or RIA, is there any reason your separation would not be voluntary? *

Yes No

Are there any pending compliance/legal actions we should be aware of (heightened supervision, pending complaints, investigations, etc.)? *

Yes No

Have you been eligible to work in the US for at least the past 5 years? *

Yes No

Current or Most Recent Broker/Dealer or RIA *

What is your prior 12 month production or salary? *

USD ($) *

- Production
- Salary

Back Next

7. Complete the **background check** questions.

Step 4 of 5 - Background Check

4 5

Background Check Questions

New Disclosures

Do you have any new disclosures to report (criminal charges/arrests, liens, judgments, bankruptcies, etc.)?

Yes No

Political Contributions

Within the past 2 years, have you made any contributions to any state or local government officials or candidates, state or local political parties, or political action committees (PACs)?

Yes No

FINRA Licensing

Select "Yes" if one or more of these apply:
- You will be opening exam windows.
- You had licenses that may have lapsed.
- You will be using a professional designation in lieu of securities licenses.

If you're unsure, select "Yes."

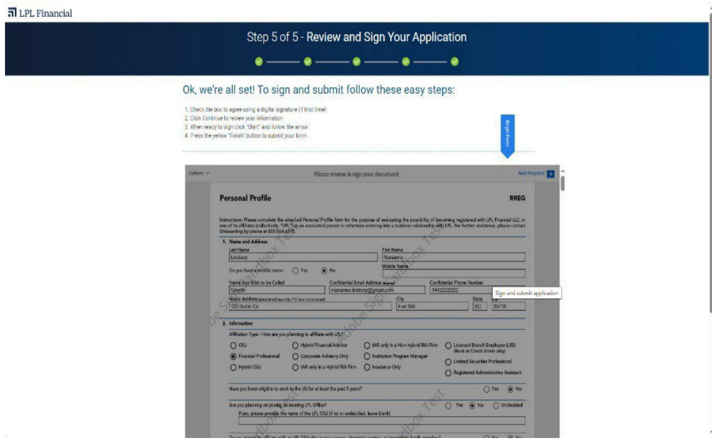
Yes No

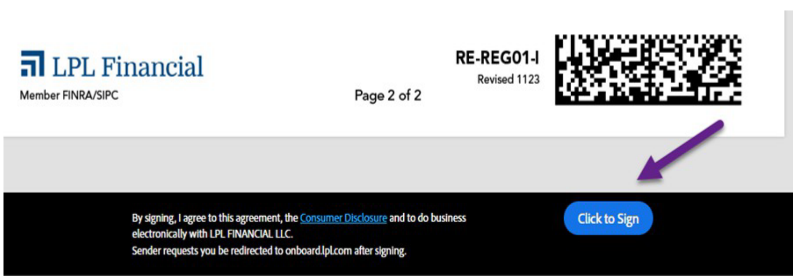
*If the response to question 3 is “yes”, additional questions will be required to answer to complete a background review. All questions must be completed to proceed to the profile agreement page.

*If the response to question 3 is “no”, proceed to the Profile Agreement page

SUBMITTING YOUR PERSONAL PROFILE

8. When ready to sign click **START** and follow the arrow. The form will guide you through several state and federal disclosures that will require initials or signature. To complete the process, select **CLICK TO SIGN**





Process complete - LPL has received your personal profile submission and is performing a due diligence review. Your Onboarding Partner will let you know when the review is complete or if any additional information is needed.