

# 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**.

**We're pleased you're considering a partnership with LPL**

The next step is to fill out this non-binding profile so we can begin our initial steps. This will help ensure a smooth transition if you decide to move forward. An Onboarding Partner will follow up with you after we receive your profile.

  
**Non-binding**

  
**~15 minutes**


  
**Smooth process**

**Before you begin**

**Are you a non-registered professional?**  
If you're looking to affiliate with an LPL Financial branch in a non-registered capacity, please call our Registrations Department at (844) 610-0009 or email [licensing@lplfinancial.com](mailto:licensing@lplfinancial.com). Please do not complete this profile.

[Get Started](#)

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



**Unfreeze your credit at TransUnion first**

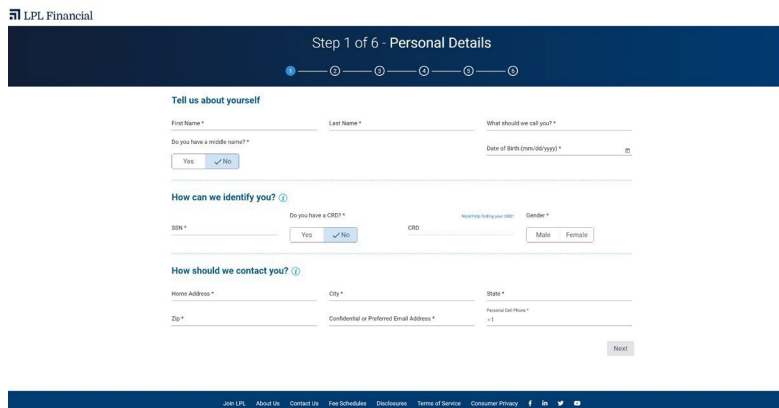
We'll be running a credit check as part of our initial steps. If your credit is frozen, please unfreeze it before you submit your profile.

[Unfreeze Credit](#)

[Submit Profile](#)

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- 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.

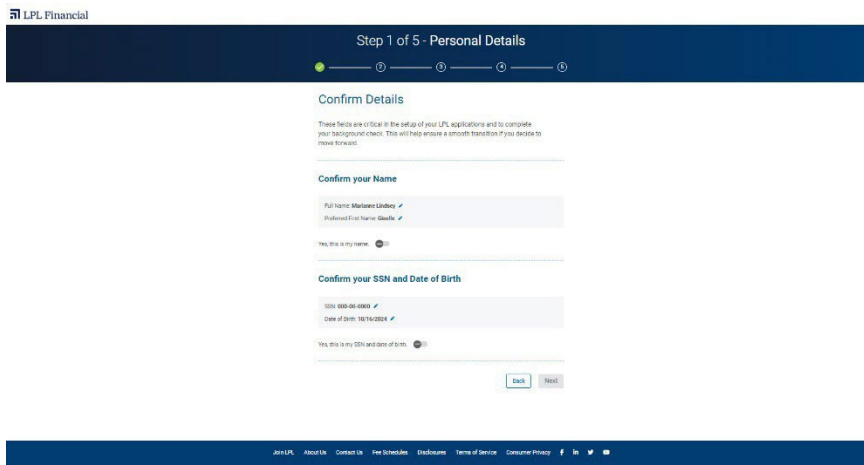


The screenshot shows the 'Step 1 of 6 - Personal Details' form on the LPL Financial website. The form is titled 'Tell us about yourself' and includes the following sections:

- First Name \***, **Last Name \***, and **What should we call you? \*** (text input fields).
- Do you have a middle name? \*** (Yes/No radio buttons, with 'No' selected).
- Date of Birth (mm/dd/yyyy) \*** (text input field).
- How can we identify you? \*** (link icon):
  - SSN \*** (text input field).
  - Do you have a CREST? \*** (Yes/No radio buttons, with 'No' selected).
  - CRD** (text input field).
  - Gender \*** (Male/Female radio buttons).
- How should we contact you? \*** (link icon):
  - Home Address \*** (text input field).
  - City \*** (text input field).
  - State \*** (text input field).
  - Zip \*** (text input field).
  - Confidential or Preferred Email Address \*** (text input field).
  - Phone Cell Home \*** (text input field).

A 'Next' button is located at the bottom right of the form. The footer contains links: 'Join LPL', 'About Us', 'Contact Us', 'Fee Schedules', 'Disclosures', 'Terms of Service', 'Consumer Privacy', and social media icons for Facebook, LinkedIn, and Twitter.

- 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.



The screenshot shows the 'Step 1 of 5 - Personal Details' confirmation form on the LPL Financial website. The form is titled 'Confirm Details' and includes the following sections:

- Confirm your Name**:
  - Full Name: Matthew Lindsay** (with a pencil icon for editing).
  - Preferred First Name: Geoff** (with a pencil icon for editing).
  - Yes, this is my name.** (Yes/No radio buttons, with 'Yes' selected).
- Confirm your SSN and Date of Birth**:
  - SSN: 000-00-0000** (with a pencil icon for editing).
  - Date of Birth: 10/10/2000** (with a pencil icon for editing).
  - Yes, this is my SSN and date of birth.** (Yes/No radio buttons, with 'Yes' selected).

'Back' and 'Next' buttons are located at the bottom right of the form. The footer contains links: 'Join LPL', 'About Us', 'Contact Us', 'Fee Schedules', 'Disclosures', 'Terms of Service', 'Consumer Privacy', and social media icons for Facebook, LinkedIn, and Twitter.

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

Step 2 of 5 - Diversity and Inclusion Invitation

LPL Financial Diversity and Inclusion Invitation

As we grow our diversity and inclusion programs, it is important for us to learn as much as possible about our community in order to support our advisors' growth in increasingly diverse markets, bring advice to underserved investors, and create a more inclusive industry for us all.

We invite you to identify the option below that most closely matches your race/ethnicity and military service.

The completion of this information is voluntary and declining to provide this information will not affect your status with LPL Financial. You may decline by selecting the option "Prefer Not to Answer." If you choose to provide this information, LPL will use it solely in connection with its diversity and inclusion initiatives.

**Race/Ethnicity \***

☐ Hispanic or Latino

☐ White or Caucasian

☐ Black or African American

☐ Native Hawaiian or other Pacific Islander

☐ Asian

☐ American Indian or Alaskan Native

☐ Two or more races

☒ I prefer not to answer.

**Military Service \***

☐ I'm a current or former service member.

☐ I have not served in the military.

☒ I prefer not to answer.

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

Step 3 of 5 - Affiliation Details

A few questions to help determine how you plan to affiliate with LPL.

I am a member of the LPL team provided you with an affiliation type?

☐ Yes, I know the affiliation type I should select.

☐ No, I need the assistance selecting my affiliation type.

[Back](#) [Next](#)

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

Principal / OSJ - Hybrid RIA	Registered Representative / LPL RIA	OSJ / COO / Principal	Hybrid RIA	Registered Assistant	Advisory Only - Hybrid RIA
Advisory Only - Independent RIA (Non-Hybrid)	Institution Program Manager	Insurance Agent Only	Corporate Advisory Only	Licensed Branch Employee (LBE)	Limited Securities Professional

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## 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



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## 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? \*

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

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

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

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

Current or Most Recent Broker/Dealer or RIA \*

What is your prior 12 month production or salary? \*

USD (\$) \*

☐ Production

☐ Salary

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

Step 4 of 5 - Background Check

Background Check Questions

**New Disclosures**

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

**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)?

**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"

\*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

**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.