Onboarding a Financial Consultant
How-to-Process Guide

Step 1: Determine start date: Onboarding typically takes 4- 6 weeks. Choose a start date that allows enough time for application approval and to prepare client data (if bringing a book of business), computer equipment, stationery, and technology needs.

Step 2: Computer 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). FRG IT must set up all new computers before engaging in any LPL/FRG business.

Step 3: Determine channel and role type - If unsure, call your FRG Business Consultant

- Joining the Institution Services (IS) or Independent Advisor Services (IAS) channel: Registered Representative/LPL RIA, Corporate Advisory Only

- Joining the Institution Services (IS) channel only: Institution Program Manager

Step 4: Submit a Profile - Applicants must be approved for compliance by LPL Financial. Candidates follow this link: Advisor Profile Application. A copy of the JoinLPL Profile Guide is available as needed

- Once on the website, the candidate will select “Get Started” and enter all requested information. When completing Section 3 – Affiliation Details, the candidate must enter the following:

If joining the Institution (IS) channel:

- I know the affiliation type I should select? Select Yes, and the role agreed to in Step 3
- Do you plan on affiliating with LPL as part of a Financial Institution? Select Yes and the Financial Institution name

If joining the Independent (IAS) channel:

- I know the affiliation type I should select? Select Yes, and the role agreed to in Step 3
- Do you plan on affiliating with LPL as part of a Financial Institution? Select No
- Do you plan on joining an existing office currently affiliated with LPL? Select Yes and enter Steve Lank and the FRGIS OSJ Branch ID & FRGIS OSJ Rep ID your office is assigned to: 38W0 & P32P or 16H4 & 91YP

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- The completed profile will be submitted, and an LPL Onboarding Partner and FRG Onboarding & Integration Specialist will coordinate weekly calls to execute the following activities and prepare the Advisor for transition:
    - Compliance review and approval & fingerprinting, Outside Business Activity review and approval
    - Outside counsel call & client data preparation (if bringing a book of business)
    - State registrations, regulatory disclosures, Rep Agreement execution
    - ADV 2B
    - Annuity & Insurance appointments
    - Required Training

Step 5: Prepare Marketing Materials – Email FRG Marketing for assistance: Marketing@lplatfrg.com

- Branding consultation (if needed)
- Website
- Stationery includes email signature (required by LPL) and business cards or other branded materials, if desired
- Determine Name & Contact Info: How will the 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 the viability of the 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 6: Prepare Supplemental Technology Forms* - Common requests include:

- Add Access: RE-CWKITADO - must specify all applicable Rep IDs and features being granted to others.
- 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 To add ability for assistants 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 DBA email is hosted by LPL

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

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