

Onboarding Process Guide: Non-Licensed Persons Opening FINRA Exam Windows

Step 1: Determine the desired start date

- Onboarding typically takes 2-4 weeks, not including studying and testing. Choose a start date that allows enough time for application approval as well as preparing the candidate's computer equipment, stationery, and technology needs.

Step 2: Considerations before completing a profile

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.
Access to ClientWorks and Email
If candidate requires ClientWorks and email prior to/during exams, s/he must be onboarded as a Non-Licensed Assistant (NLA) first - LPL will not provide exam takers access until <u>after</u> being fully registered (FINRA & State). Refer to the Onboarding Process Guide: Non-Licensed Assistant Joining an Existing Office for instructions.
If candidate <i>does not</i> require ClientWorks or email access prior to/during exams, or once candidate is activated as an NLA, proceed to Step 3
SIE Exam
Candidates may register directly with FINRA to take the Securities Industry Essentials (SIE) exam <u>without</u> LPL approval. The fee for the SIE is \$60.00, plus the cost of study materials. All other FINRA exams require sponsorship.

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, Registered Assistant, Insurance Only Agent, Corporate Advisory Only, Limited Securities Professional
- Joining the Institution Services (IS) channel only: Institution Program Manager, Licensed Branch Employee (LBE)

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Step 4: Submit a Profile – Before candidates are eligible to open FINRA exam windows, they must be compliance-approved by LPL Financial

- Candidate follows 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? Select No
- Do you plan on joining an existing office that is 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

- Once complete, the profile will be submitted to LPL, and an Onboarding Partner will reach out to discuss next steps. During this process, the candidate may be asked for additional information.

Exam Windows – Important Info

- Windows are open for 120 days for 1st and 2nd attempts
- After each attempt, the candidate must notify LPL Onboarding Partner and FRG Onboarding & Integration Specialist of the outcome and request the next exam, if applicable
 - After two failed attempts, the candidate must wait 30 days before rescheduling
 - After three failed attempts, the candidate must wait 6 months before rescheduling

Once the candidate has passed all exams, proceed with the following steps, as applicable:

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Step 5: 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 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* – Certain tools require supplemental forms to be submitted after joining. 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

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