Required Forms and Step by Step Instructions to Open a Retirement or Non- Retirement Brokerage Account

Step 1: Select Your Account Type

Please select Non-Retirement or Retirement Account Type as indicated below. Retirement Account registration type options include Traditional, Roth and SEP IRAs. Please print and complete required forms and print the corresponding Account Packet for your records.

Account Type	Forms Required to be completed and submitted to LPL Financial	Documents and Agreements for you to review and keep for your records
Non-Retirement	Trade Direct Account Application - Non Retirement Form	Account Packet - LPL Trade Direct
Retirement	Trade Direct Account Application - Retirement Form	Account Packet - LPL Trade Direct
Traditional, Rollover or Beneficiary IRA; SEP IRA		Custodial Agreement PTC - IRA
Roth or Beneficiary Roth IRA		Custodial Agreement PTC - Roth IRA

Step 2: Complete Additional Forms if Required for Account Registration Selected

In addition to the forms indicated in Step 1, some registration types require additional forms or information. See below for additional required forms and instructions based on Account Registration.

Registration Type	Forms and/or information required to be completed and submitted to LPL Financial	Documents and Agreements for you to review and keep for your records
Estate	Estate Papers (Letters of Testamentary)	
Guardianship or Conservatorship	Court/Legal Documentation	

Step 3: Select Additional Optional Account Features

You may choose to add specific features to your account. See below for additional features and the additional forms or information required.

Account Feature	Forms and/or information required to be completed and submitted to LPL	Documents and Agreements for you to review and keep for your records
Trading on Margin	Select and initial the Margin Section of the Trade Direct Account Account Application. (Available on Non-Retirement Accounts only)	Margin Disclosure Statement
Options - Level 2 Only	Options Agreement and Approval Form	Characteristics and Risks of Standardized Options
Individual Transfer on Death (TOD)	Transfer on Death Account Form - Individual	
Joint Transfer on Death (TOD)	Transfer on Death Account Form - Joint Tenant	
ACH Instructions (move funds between LPL Financial and your institution - Non Retirement accounts only)	ACH-Non Retirement	

Step 4- Fund your account

Fund your account by check, transfer or wire as noted below.

Funding Instructions by Registration Type	Ways to Fund your account	Required Forms
Non Retirment Account	**Check Payable to: LPL Financial**	For New Accounts without an account number: write "New Account" on your check and attach with you Account Application. When you receive your new account number please include it on all checks and correspondence. See list of Acceptable Deposits.
	Transfer to LPL from another firm	Transfer Instructions to LPL -External
	Transfer within LPL from an existing LPL account to Trade Direct	Transfer Instructions- Internal
	Wire to LPL Financial - Wire Instructions	Do not wire funds without your account number. Once we receive your new Account Application; a 'Welcome Letter' containing you Trade Direct account number will be sent to you.
Retirement Account- IRA/SEP/Coverdale ESA/ Roth	Send a **Check Payable to LPL Financial** as a Contribution to your Trade Direct account.	Contribution Instructions- Check/Security Deposit Please note your account number on your check or write 'New Account" on your check and attach to your Applicaton. Acceptable Deposits
	Transfer within LPL - from an existing LPL account to your Trade Direct account	Contribution Instructions- Transfer Request
	Transfer or Rollover to LPL -from another firm to your Trade Direct account	Transfer Instructions to LPL -External

Step 5- Send Forms & Check (if applicable) to LPL Financial

Fax or mail all applicable Account Opening forms and check to LPL Financial.

Mailing Method	Phone & Address
Fax to:	858-202-8500
Regular Mail To:	LPL Financial Attn: Trade Direct P.O.Box 6565 Fort Mill, SC 29716
Overnight Mail To:	LPL Financial Attn: Trade Direct 1055 LPL Way Fort Mill, SC 29715

Step 6- LPL Financial Send Welcome Letter

Once we Receive and Approve your New Account, you will receive a Welcome letter within 10 – 14 business days.

Welcome Letter
The welcome letter will provide you with: · your new account number · Instructions on how to create a Trade Direct User ID and login for online trading · Once you complete the steps noted in the letter, you can begin trading in your account.

Contact Us

Call the LPL Financial Trade Direct Client Services	Call the LPL Financial Trade Direct Client Services at 855-575-9656 Monday through Friday from 8:30am- 7:30pm EST.
Email the LPL Financial Trade Direct Client Services	clientservices@lpl.com.