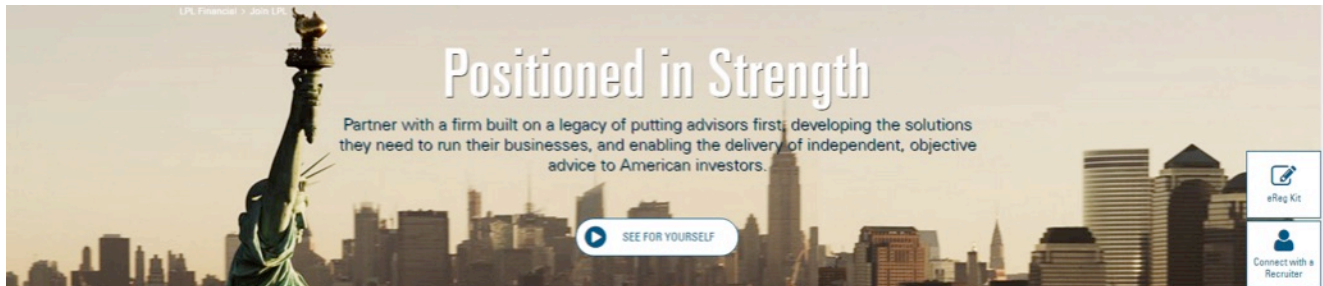


Creating a Personal Profile in eSignature

1. From the JoinLPL.com home page, click the **Submit Your Profile** button, located on the right side of the page.



2. Enter your first and last name in the Your Name field, followed by your email in the field below. Use a personal and confidential email so we can contact you.
3. Once you've completed these fields, click **Begin Signing**.

PowerForm Signer Information

If there are other 'roles' required for this document to be completed, please enter the name and email of these other recipients. An email will be sent inviting them to sign along with you.

Please enter your name and email to begin the signing process.

Your Role:

Advisor 1 *

Your Name:

Your Email:

Begin Signing

- You'll then be redirected to the Personal Profile page. Before filling out the form, you'll be asked to agree to the Electronic Records and Signature Disclosure terms relating to market data confidentiality. To agree, click on the checkbox in the top left corner (as noted by the letter "A" in the following picture). If the checkbox is not visible, scroll up or down using the scrollbar until it appears.
- After you've agreed to the terms, click **Continue** (noted by "B" in the following picture). The Continue button will be inactive until you've agreed to the terms.

Please Review & Act on These Documents

LPL Staff 2
Lpl Staff 2

Please review & sign your document. To begin the process of reviewing and signing your documents, please click the button below. Signing will not be complete until you have reviewed the agreement and you have confirmed your signature.

To continue you must consent to use Electronic Records and Signatures.

Please read the **Electronic Records and Signature Disclosure**
☒ I agree to use electronic records and signatures.

CONTINUE **OTHER ACTIONS**

Personal Profile **RREG**

For further assistance, please contact New Client Onboarding by phone at 855-564-6575 or fax at 858-546-0555 if you are affiliating as an Independent Advisor. If you are affiliating with a bank or credit union, please contact Institution Services-New Client Onboarding by phone at 866-970-1450 or fax at 704-329-1416.

1. Name and Address

Last Name: _____ First Name: _____
 Do you have a middle name: ☒ Yes ☐ No Middle Name: _____
 Name You Wish to be Called: _____ Confidential Email Address: _____ Confidential Phone Number: _____
 Home Address (school address only, P.O. Box not accepted): _____ City: _____ State: _____ Zip: _____

2. Information

Affiliation Type - How are you planning to affiliate with LPL Financial?

<input checked="" type="radio"/> Branch Manager / OSJ	<input checked="" type="radio"/> Hybrid Branch Manager / OSJ	<input checked="" type="radio"/> Insurance Only
<input checked="" type="radio"/> Financial Advisor	<input checked="" type="radio"/> Hybrid Financial Advisor	<input checked="" type="radio"/> CPA Partner
<input checked="" type="radio"/> Licensed Administrative Assistant	<input checked="" type="radio"/> Hybrid Licensed Hybrid Administrative Assistant	<input checked="" type="radio"/> P&C Partner
<input checked="" type="radio"/> Licensed Branch Employee (LBE) (Bank or Credit Union only)	<input checked="" type="radio"/> IAR in a Hybrid	<input checked="" type="radio"/> IAR Only

Do you perform any of the following? (Applicable only if Affiliation Type is LBE)

☐ Meet with current or prospective investment program clients to discuss securities products ☐ Accept Orders for securities products
☐ Account Profiling ☐ Perform account review ☐ Other _____

- Once you're in Form View, begin filling out the Personal Profile. Please note: All highlighted fields are required to submit your profile. It's important that we obtain as much accurate information as possible to promptly assign a consultant to assist you with your transition.

Enter text **FINISH** **OTHER ACTIONS**

Personal Profile **RREG**

For further assistance, please contact New Client Onboarding by phone at 855-564-6575 or fax at 858-546-0555 if you are affiliating as an Independent Advisor. If you are affiliating with a bank or credit union, please contact Institution Services-New Client Onboarding by phone at 866-970-1450 or fax at 704-329-1416.

1. Name and Address

Last Name: Doe First Name: John
 Do you have a middle name: ☒ Yes ☐ No Middle Name: _____
 Name You Wish to be Called: John Confidential Email Address: john@doe.com Confidential Phone Number: 5551234567
 Home Address (school address only, P.O. Box not accepted): _____ City: _____ State: _____ Zip: _____

2. Information

Affiliation Type - How are you planning to affiliate with LPL Financial?

<input checked="" type="radio"/> Branch Manager / OSJ	<input checked="" type="radio"/> Hybrid Branch Manager / OSJ	<input checked="" type="radio"/> Insurance Only
<input checked="" type="radio"/> Financial Advisor	<input checked="" type="radio"/> Hybrid Financial Advisor	<input checked="" type="radio"/> CPA Partner
<input checked="" type="radio"/> Licensed Administrative Assistant	<input checked="" type="radio"/> Hybrid Licensed Hybrid Administrative Assistant	<input checked="" type="radio"/> P&C Partner
<input checked="" type="radio"/> Licensed Branch Employee (LBE) (Bank or Credit Union only)	<input checked="" type="radio"/> IAR in a Hybrid	<input checked="" type="radio"/> IAR Only

Do you perform any of the following? (Applicable only if Affiliation Type is LBE)

☐ Meet with current or prospective investment program clients to discuss securities products ☐ Accept Orders for securities products
☐ Account Profiling ☐ Perform account review ☐ Other _____

Are you planning on joining an existing LPL Financial Office?
 if yes, please provide the name of the LPL Branch Manager/OSJ (if no or undecided, leave blank) ☒ Yes ☒ No ☐ Undecided

7. Fill out the fields from left to right and top to bottom. You'll be prompted to complete all required fields. When submitting your request, the page will scroll and highlight any required fields that were missed.
8. After completing all required fields on Page 1, you can scroll down to the fourth page and sign the document electronically. Click **Sign**, located to the left of the signature line.

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RREG

4. LPL Terms and Conditions Related to Your Submission of this Personal Profile ("Profile Agreement") (continued)

User shall use Market Data only for its individual use. User shall not furnish Market Data to any person or entity other than an officer, partner or employee of User including its securities agents, customers or clients. User understands that, at any time, LPL or the Authorizing SROs may discontinue disseminating any category of Market Data, may change or eliminate any transmission method and may change transmission speeds or other signal characteristics. User shall not hold LPL or the Authorizing SROs liable for any resulting liability, loss or damages that may arise therefrom. The Market Data Terms remains in effect for so long as User has the ability to receive Market Data as contemplated by the Market Data Terms. In addition, either User or LPL may terminate this Terms and Conditions for Use on 30 days' written notice to the other. User understands that LPL is obligated to terminate the Market Data Terms pursuant to this Paragraph upon notice to that effect from an Authorizing SRO. Without limiting the foregoing, User agrees that such termination shall not effect the proprietary nature of the data, such Authorizing SRO's status as third party beneficiary, or any other term that by its nature would survive termination. The Market Data Terms supersedes each previous agreement between the User and each Authorizing SRO insofar as the superseded agreement pertains to the Market Data services that LPL provides to User pursuant to this Agreement.

K. Notice, Amendment, Termination and Governing Law

I agree that LPL may provide me with notices, including those regarding changes to the terms set forth in this Profile Agreement, by email or by posting a notice on my account page on Technology Access. This agreement shall be governed and construed in accordance with the laws of the Commonwealth of Massachusetts, without regard to its conflicts of law principles. In the event I become associated with LPL, I acknowledge that a separate agreement will govern my relationship with LPL and to the extent such terms conflict with those of this Profile Agreement, such separate agreement control. I agree that any rights granted under this Profile Agreement, may not be transferred or assigned by me without LPL's written consent, but may be assigned by LPL without restriction. Any attempted assignment by me in violation of this Section shall be void.

I agree that LPL may terminate this Profile Agreement and my access and use of the Technology Access immediately upon notice by email or by posting a notice on my account page on Technology Access. Upon the expiration or termination of my access to Technology Access or termination of this Profile Agreement, I agree that (i) all licenses and other rights granted to me under this Profile Agreement shall cease, and (ii) I will immediately discontinue any use of the Technology Access. Without limiting the foregoing, I acknowledge that I will continue to be bound by the obligations of confidentiality set forth in this Profile Agreement.

By clicking below, I acknowledge I have read the foregoing and agree to all of the terms and conditions set forth in this Profile Agreement, effective and binding upon acceptance by LPL.

Sign John Doe 12/5/2016
Signature Name Date

10. A window will appear showing your pre-selected electronic signature. Click **ADOPT AND SIGN** to authorize the signature and move forward.

Select the sign field to create and add your signature

Adopt Your Signature

Confirm your name, initials, and signature.

Full Name John Doe **Initials** JD

Select Style Draw

PREVIEW Change Style

DocuSigned by: John Doe DS
0D9179BA969B48B...

By selecting Adopt and Sign, I agree that the signature and initials will be the electronic representation of my signature and initials for all purposes when I (or my agent) use them on documents, including legally binding contracts - just the same as a pen-and-paper signature or initial.

ADOPT AND SIGN CANCEL

11. After adopting a signature, you'll be directed to the Background Check Process page, where you'll enter information that allows us to conduct the necessary background checks.

The screenshot shows a web form titled "Personal Profile" with the subtitle "Background Check Process". A blue "NEXT" button is in the top left corner. The form contains a thank-you message and a list of required information fields: Last Name, First Name, Middle Name, Social Security Number, Date of Birth, Gender (with radio buttons for Male and Female), and DOB (if known). The "RREG" logo is in the top right corner.

12. After completing all required fields for the background check, you'll be able to scroll down to the sixth page and sign the Background Investigation Disclosure electronically. Click **Sign**, located to the left of the signature line. You will not have to adopt another signature.

The screenshot shows a document titled "Disclosure Regarding Background Investigation" with the subtitle "RREG". At the top, it includes the LPL Financial logo, "Member FINRA/SIPC", "Page 1 of 1", and a QR code. A blue "NEXT" button is on the left. A red arrow points to a yellow "Sign" button with a downward arrow icon. Below the "Sign" button is a signature line with the name "John Doe" and a date field showing "12/6/2016". The document also contains a paragraph of legal disclosure text.

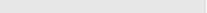

13. After you've electronically signed the disclosure, you'll be directed to a page titled, "Notice Regarding Background Checks and Credit Checks Per California Law."

You must answer the question at the top of the page (noted by "A" in the following picture) about residing or offering services in the state of California. You also have the option to receive a copy of an investigative consumer report or consumer credit report at no charge. Select this option by checking the corresponding box above the signature line (noted by "B" in the following picture).

If you answer “Yes” to the top question, you will have to click **Sign**, located to the left of the signature line. You will not have to adopt another signature. If you answer “No,” you can scroll down to Page 8.

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Notice Regarding Background Checks and Credit Checks Per California Law		
		RRG
<hr/>		
Do you reside in or plan to offer services as an advisor in the state of California?		
<input checked="" type="radio"/> Yes		<input type="radio"/> No
<p>In connection with your application to be an advisor, LPL Financial (the "Company") intends to obtain information about you from a consumer reporting agency. Thus, you can expect to be the subject of "investigative consumer reports" (as defined under CA law) and "consumer credit reports" obtained for "employment purposes," as defined under CA law. Such reports may include information about your character, general reputation, personal characteristics and mode of living. With respect to any investigative consumer report from an investigative consumer reporting agency ("ICRA"), the Company may investigate the information contained in your employment application and other background information about you, including but not limited to obtaining a criminal record report, verifying references, work history, your social security number, your educational achievements, licensure, and certifications, your driving record, and other information about you, and interviewing people who are knowledgeable about you. The results of this report may be used as a factor in making employment decisions. The source of any investigative consumer report (as that term is defined under California law) will be TransUnion LLC, P.O. Box 2000, Chester, PA 19016, 800-480-7289, www.transunion.com or First Advantage, P.O. Box 105292, Atlanta, GA 30348, 800-845-6004, www.fadv.com. The Company agrees to provide you with a copy of an investigative consumer report when required to do so under California law.</p> <p>Under California Civil Code section 1786.22, you are entitled to find out what is in the ICRA's file on you with proper identification, as follows:</p> <ul style="list-style-type: none">• In person, by visual inspection of your file during normal business hours and on reasonable notice. You also may request a copy of the information in person. The ICRA may not charge you more than the actual copying costs for providing you with a copy of your file.• A summary of all information contained in the ICRA's file on you that is required to be provided by the California Civil Code will be provided to you via telephone, if you have made a written request, with proper identification, for telephone disclosure, and the toll charge, if any, for the telephone call is prepaid by or charged directly to you.• By requesting a copy be sent to a specified addressee for certified mail. ICRAs complying with requests for certified mailings shall not be liable for disclosures to third parties caused by misaddressing of mail after such mailings leave the ICRA's. <p>*Proper identification includes documents such as a valid driver's license, social security account number, military identification card, and credit cards. Only if you cannot identify yourself with such information may the ICRA require additional information concerning your employment and personal or family history in order to verify your identity.</p> <p>The ICRA may provide trained personnel to explain any information furnished to you and will provide a written explanation of any coded information contained in files maintained on you. This written explanation will be provided whenever a file is provided to you for visual inspection. You may be accompanied by one other person of your choosing, who must furnish reasonable identification. An ICRA may require you to furnish a written statement granting permission to the ICRA to discuss your file in this person's presence.</p> <p><input type="checkbox"/> Please check this box if you would like to receive a copy of an investigative consumer report or consumer credit report at no charge if one is obtained by the Company whenever you have a right to receive such a copy under California law.</p> <p>Notice Regarding Credit Checks</p> <p><i>Background-Section 1024.5 of the California Labor Code. The Company informs you that it may obtain a credit report about you from the above named</i></p>		

13. On the following page, “Notice Regarding Credit Checks,” you’ll need to answer the question at the top of the page about residing or offering services in the City of New York. If you answer “Yes,” you will have to click **Sign**, located to the left of the signature line. You will not have to adopt another signature. If you answer “No,” you can scroll down to Page 9.

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Notice Regarding Credit Checks Per City of New York Law		RREG	
<hr/>			
Do you reside in or plan to offer services as an advisor in the City of New York? <input checked="" type="radio"/> Yes <input type="radio"/> No			
<hr/>			
<p>In conjunction with my application to become associated with LPL Financial LLC (the "Company"), I understand that the Company intends to obtain information for employment screening purposes as interpreted by the Federal Trade Commission from a consumer reporting agency (CRA). I understand that a consumer report may be obtained from the following CRA:</p> <p>TransUnion LLC, P.O. Box 2000, Chester, PA 19016, Telephone (800) 680-7289, www.TransUnion.com. A copy of their privacy policy may be requested.</p> <p>Pursuant to the city of New York administrative code Section 8-102, subdivision 29, the Company informs you that it may obtain a credit report about you from the above named CRA because you are seeking employment (including independent contractor assignments) as interpreted by the Federal Trade Commission in the following position(s), or for the following reason: The company is required to use an individual's consumer credit history for employment purposes under state or federal law/regulations or by a self-regulatory organization (as defined by the Securities Exchange Act of 1934).</p> <p>I acknowledge receipt of the Notice Regarding Credit Checks Per New York City Law and A Summary of Your Rights Under the Fair Credit Reporting Act and certify that I have read and understand these documents. I hereby authorize the Company to obtain a credit report from the above named CRA, TransUnion. I further acknowledge that a copy, pdf or facsimile of this authorization may be accepted with the same authority as the original.</p>			
Signature _____		Name _____ Today's Date _____	

14. On the following page, “Acknowledgement and Authorization for Background Check”, you’ll be prompted to click **Sign** on the signature line. You will not have to adopt another signature.

If you are a resident of Minnesota or Oklahoma, you’ll also have the option of receiving a copy of an investigative consumer report or consumer credit report at no charge. Select this option by checking the corresponding box in the middle of the page (noted by the arrow in the following picture).

Acknowledgment and Authorization for Background Check RREG

I acknowledge receipt of the separate documents entitled DISCLOSURE REGARDING BACKGROUND INVESTIGATION and A SUMMARY OF YOUR RIGHTS UNDER THE FAIR CREDIT REPORTING ACT and certify that I have read and understand both of those documents. I hereby authorize the obtaining of "consumer reports" and/or "investigative consumer reports" by LPL Financial LLC (the "Company") at any time after receipt of this authorization and throughout the period of my association with LPL, if applicable. I further authorize that such information may be shared with a current or prospective branch manager, institution, or OSI. To this end, I hereby authorize, without reservation, any law enforcement agency, administrator, state or federal agency, institution, school or university (public or private), information service bureau, employer, or insurance company to furnish any and all background information requested by TransUnion LLC, P.O. Box 2000, Chester, PA 19016. Telephone (800) 680-7289; www.transunion.com and/or the Company. I agree that a facsimile ("fax"), electronic or photographic copy of this Authorization shall be as valid as the original.

New York applicants only: Upon request, you will be informed whether or not a consumer report was requested by the Company, and if such report was requested, informed of the name and address of the consumer reporting agency that furnished the report. You have the right to inspect and receive a copy of any investigative consumer report requested by the Company by contacting the consumer reporting agency identified above directly. By signing below, you acknowledge receipt of Article 23-A of the New York Correction Law.

New York City applicants only: By signing this form, you further authorize the Company to provide you with a copy of your consumer report, the New York City Fair Chance Act Notice form, and any other documents, to the extent required by law, at the mailing address and/or email address you provide to the Company.

Washington State applicants only: You also have the right to request from the consumer reporting agency a written summary of your rights and remedies under the Washington Fair Credit Reporting Act.

Minnesota and Oklahoma applicants only: ☐ Please check this box if you would like to receive a copy of a consumer report if one is obtained by the Company.

Vermont applicants only: NOTICE REGARDING CREDIT CHECKS PER VERMONT LAW
Pursuant to Vermont Act No. 154 (S. 95), the Company informs you that it may obtain a credit report about you, for the following reason(s):
The information is required by state or federal law or regulation; and you seek to be/have employed in a position that requires a financial fiduciary responsibility to the Company or a Company's clients, including the authority to issue payments, collect debts, transfer money or enter into contracts.

John Doe 12/6/2016
Signature Name Today's Date

15. After signing the background check acknowledgement and authorization, you’ll be directed to a page titled, “Summary of Rights Under the Fair Credit Reporting Act.” You must initial your acknowledgement of the material in the top right corner (noted by the arrow in the following picture).

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Summary of Rights Under the Fair Credit Reporting Act RREG


Para información en español, visite www.consumerfinance.gov/learnmore, o escriba a la Consumer Financial Protection Bureau, 1700 G Street N.W., Washington, DC 20552.

The federal Fair Credit Reporting Act (FCRA) promotes the accuracy, fairness, and privacy of information in the files of consumer reporting agencies. There are many types of consumer reporting agencies, including credit bureaus and specialty agencies (such as agencies that sell information about check writing histories, medical records, and rental history records). Here is a summary of your major rights under the FCRA. For more information, including information about additional rights, go to www.consumerfinance.gov/learnmore or write to: Consumer Financial Protection Bureau, 1700 G Street N.W., Washington, DC 20552.

- **You must be told if information in your file has been used against you.** Anyone who uses a credit report or another type of consumer report to deny your application for credit, insurance, or employment – or to take another adverse action against you – must tell you, and must give you the name, address, and phone number of the agency that provided the information.
- **You have the right to know what is in your file.** You may request and obtain all the information about you in the files of a consumer reporting agency (your "file disclosure"). You will be required to provide proper identification, which may include your Social Security number. In many cases, the disclosure will be free. You are entitled to a free file disclosure if:
 - a person has taken adverse action against you because of information in your credit report;
 - you are the victim of identity theft and place a fraud alert in your file;
 - your file contains inaccurate information as a result of fraud;
 - you are on public assistance;
 - you are unemployed but expect to apply for employment within 60 days.In addition, all consumers are entitled to one free disclosure every 12 months upon request from each nationwide credit bureau and from nationwide specialty consumer reporting agencies. See www.consumerfinance.gov/learnmore for additional information.
- **You have the right to ask for a credit score.** Credit scores are numerical summaries of your credit-worthiness based on information from credit bureaus. You may request a credit score from consumer reporting agencies that create scores or distribute scores used in residential real property loans, but you will have to pay for it. In some mortgage transactions, you will receive credit score information for free from the mortgage lender.
- **You have the right to dispute incomplete or inaccurate information.** If you identify information in your file that is incomplete or inaccurate, and report it to the consumer reporting agency, the agency must investigate unless your dispute is frivolous. See www.consumerfinance.gov/learnmore for an explanation of dispute procedures.
- **Consumer reporting agencies must correct or delete inaccurate, incomplete, or unverifiable information.** Inaccurate, incomplete, or unverifiable information must be removed or corrected, usually within 30 days. However, a consumer reporting agency may continue to report information it has verified as accurate.
- **Consumer reporting agencies may not report outdated negative information.** In most cases, a consumer reporting agency may not report negative information that is more than seven years old, or bankruptcies that are more than 10 years old.
- **Access to your file is limited.** A consumer reporting agency may provide information about you only to people with a valid need – usually to consider an application with a creditor, insurer, employer, landlord, or other business. The FCRA specifies those with a valid need for access.
- **You must give your consent for reports to be provided to employers.** A consumer reporting agency may not give out information about you to your employer, or a potential employer, without your written consent given to the employer. Written consent generally is not required in the trucking industry.


15. After you've acknowledged the material, scroll to the bottom of the page and click **FINISH**. Your profile will be submitted for processing, and the assignment of an Onboarding Consultant will begin.

4. Creditors Subject to the Surface Transportation Board	Office of Proceedings, Surface Transportation Board Department of Transportation 395 E Street, S.W. Washington, DC 20423
5. Creditors Subject to the Packers and Stockyards Act, 1921	Nearest Packers and Stockyards Administration area supervisor
6. Small Business Investment Companies	Associate Deputy Administrator for Capital Access United States Small Business Administration 409 Third Street, S.W., 8th Floor Washington, DC 20549
7. Brokers and Dealers	Securities and Exchange Commission 100 F Street, N.E. Washington, DC 20549
8. Federal Land Banks, Federal Land Bank Associations, Federal Intermediate Credit Banks, and Production Credit Associations	Farm Credit Administration 1501 Farm Credit Drive McLean, VA 22102-5090
9. Retailers, Finance Companies, and All Other Creditors Not Listed Above	FTC Regional Office for region in which the creditor operates or Federal Trade Commission Consumer Response Center - FCRA Washington, DC 20580 (877) 382-4357


 **LPL Financial**
Member FINRA/SIPC

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FINISH 

15. Your document has been signed. If you'd like a copy for your records, click **SHOW DOCUMENT**, which will generate a PDF you can save.



Thank you.
Your document has been signed. If you would like a copy for your records, select **Show Document** and print or save.

 **SHOW DOCUMENT** [Close](#)

For further assistance affiliating as an **Independent Advisor**, contact your recruiter or a New Client Onboarding Consultant at (855) 564-6575.

If you are affiliating with a **Bank** or **Credit Union**, please contact an Institution Services New Client Onboarding Consultant at (866) 970-1450.