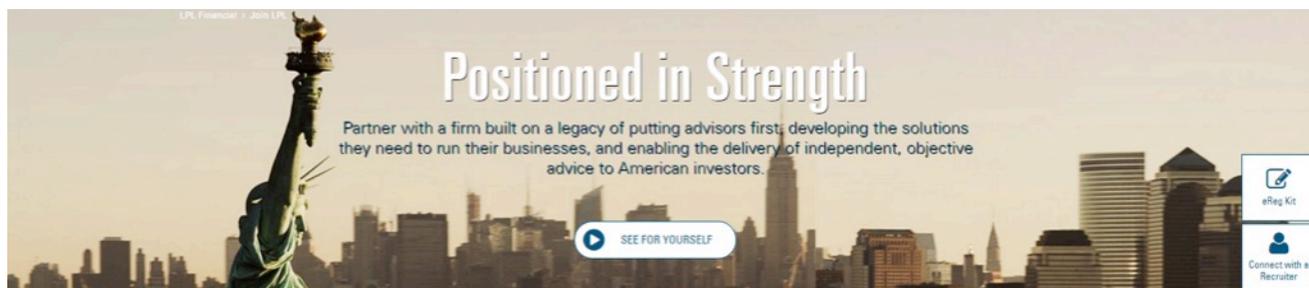


Creating a Personal Profile in eSignature

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 858-544-0555 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: [Redacted] First Name: [Redacted]
 Middle Name: [Redacted]
 Do you have a middle name: Yes No
 Name You Wish to be Called: [Redacted] Confidential Email Address: [Redacted] Confidential Phone Number: [Redacted]
 Home Address (no work address only, P.O. Box not accepted): [Redacted] City: [Redacted] State: [Redacted] Zip: [Redacted]

2. Information

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

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

Personal Profile RREG

For further assistance, please contact New Client Onboarding by phone at 855-564-6575 or fax at 858-544-0555 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**
 Middle Name: [Redacted]
 Do you have a middle name: Yes No
 Name You Wish to be Called: **John** Confidential Email Address: **john@doe.com** Confidential Phone Number: **5551234567**
 Home Address (no work address only, P.O. Box not accepted): [Redacted] City: [Redacted] State: [Redacted] Zip: [Redacted]

2. Information

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

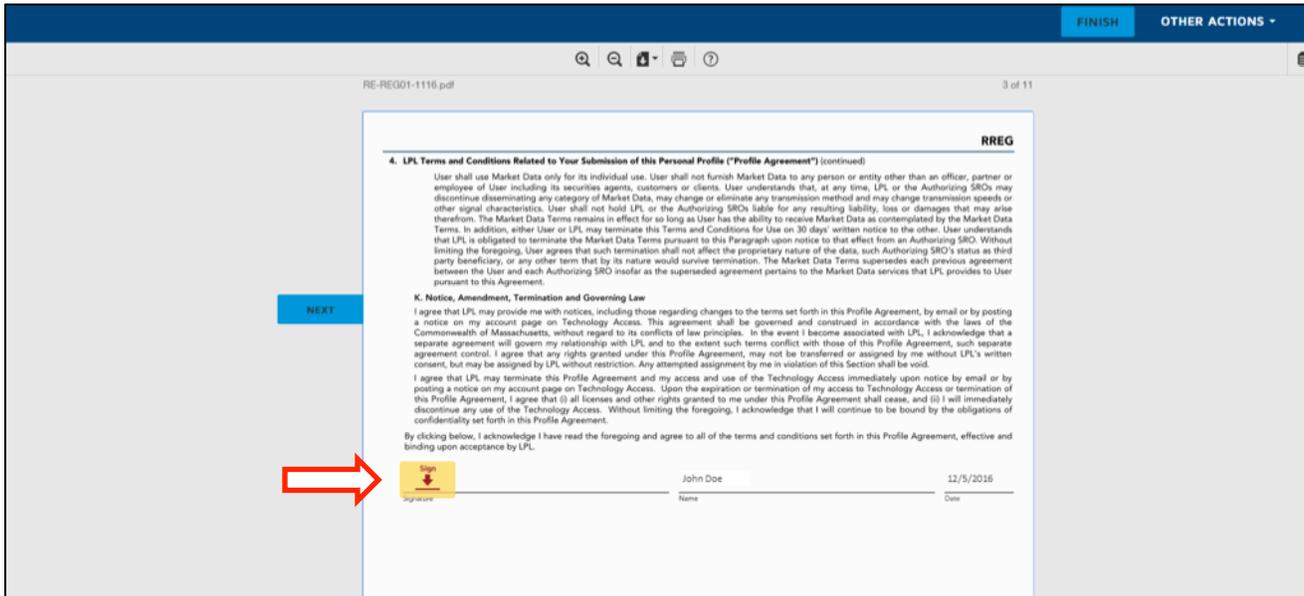
<input checked="" type="radio"/> Branch Manager / OSJ	<input type="radio"/> Hybrid Branch Manager / OSJ	<input type="radio"/> Insurance Only
<input type="radio"/> Financial Advisor	<input type="radio"/> Hybrid Financial Advisor	<input type="radio"/> CPA Partner
<input type="radio"/> Licensed Administrative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

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

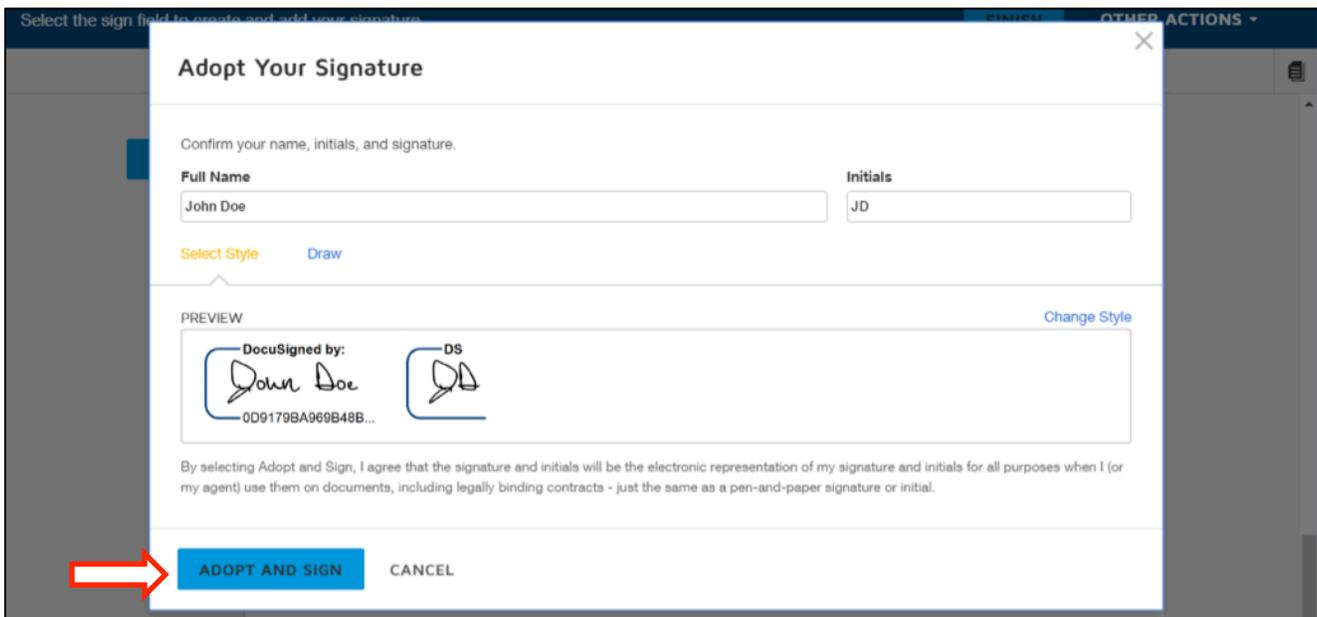
Meet with current or prospective investment program clients to discuss securities products Accept Orders for securities products
 Account Profiling Perform account review Other

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

- 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 by fields that were missed.
- 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.



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



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, and "RREG" is in the top right. The main text reads: "Thank you for completing your Personal Profile. In order for LPL to consider your application to become associated with LPL, LPL will need to conduct a background check on you. You will now be asked to read and sign a number of documents related to the background check process. To enable LPL to conduct the background check, please provide the following information:" Below this are several input fields: "Last Name", "First Name", "Middle Name", "Social Security Number", "Date of Birth", "Gender" (with radio buttons for "Male" and "Female"), and "DOB in all letters".

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 "RREG" in the top right. At the top left is the "LPL Financial" logo with "Member FINRA/SIPC" below it. To the right is "RE-REG01-A Revised 1116" and a QR code. Below the logo is "Page 1 of 1". At the bottom left of the document area is a blue "NEXT" button with a red arrow pointing to a yellow "Sign" button. The "Sign" button has a downward arrow and the word "Signatures" below it. Below the signature line, the name "John Doe" is entered, and "12/6/2016" is entered in the "Today's Date" field. The main text of the disclosure explains that LPL Financial LLC may obtain information about the user from a third-party consumer reporting agency for employment purposes, and that the user has the right to request a copy of their report.

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.

The screenshot shows a document header for LPL Financial, Member FINRA/SIPC, with document ID RE-REG01-B and page number 1 of 1. The main title is "Notice Regarding Background Checks and Credit Checks Per California Law". A question asks, "Do you reside in or plan to offer services as an advisor in the state of California?" with radio buttons for "Yes" and "No". A red arrow labeled "A" points to the "Yes" button. Below the question is a blue "NEXT" button, with a red arrow labeled "B" pointing to it. The document contains detailed text regarding background checks, including a list of items that may be reviewed and a section for "Proper Identification".

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.

The screenshot shows a document header for LPL Financial, Member FINRA/SIPC, with document ID RE-REG01-1116 and page number 7 of 11. The main title is "Notice Regarding Credit Checks Per City of New York Law". A question asks, "Do you reside in or plan to offer services as an advisor in the City of New York?" with radio buttons for "Yes" and "No". Below the question is a blue "NEXT" button. The document contains text regarding credit checks, including a reference to the City of New York administrative code and a section for acknowledgment of the notice.

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
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).

RE-REG01-1116.pdf 9 of 11

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

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

RE-REG01-F
Revised 1116

Page 2 of 2

RE-REG01-1116.pdf

11 of 11

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.