PL Financial provides advisors with the tools, technology, and support they need to manage a successful practice. Backed by our substantial resources, your LPL Financial advisor can focus on what he or she does best—provide you with prudent financial guidance and advice.

LPL Financial offers your financial advisor:

* **Enabling technology** — Our integrated, web-based technology platform allows customers to manage critical aspects of their business while remaining highly efficient and responsive to their clients’ needs. Time-consuming processes—such as account opening and management, document imaging, transaction execution, and account rebalancing—are automated to improve efficiency and accuracy. With LPL Financial focused on technology, advisors are able to focus on what is most important: growing their clients’ assets.
* **Independent research** — Our Research team provides unbiased research on mutual funds, separate accounts, annuities, alternative investments, equities, fixed-income securities, and more. With a focus on performance, service, and transparency, our research team delivers timely perspectives on the ever-changing economic marketplace, helping advisors to help their clients understand and adjust to the latest developments.
* **Practice management programs and training** — LPL Financial constantly seeks ways to help customers increase their service to their clients. Our experience and leadership in our industry, as well as the size and diversity of our customer base, give us the ability to benchmark the best practices of successful financial advisors and financial institution-based investment programs. In addition, we are able to dedicate an experienced and diverse set of professionals to work with customers, helping them to build and manage their business and client relationships through one-on-one consulting and group training.
* **Comprehensive clearing and compliance services** — LPL Financial custodies and clears the majority of our customers’ transactions, providing an enhanced customer experience and expedited processing capabilities—all backed by robust and responsive service center and operations organizations focused on providing timely, accurate, and consistent support.

In addition, our 300-person Compliance team provides oversight of many diverse compliance and monitoring requirements. We serve as a true business partner to our advisors, working closely with them and acting proactively on their behalf so they can run a compliant practice. By seamlessly integrating compliance functionality into our advisors’ practices, we enable many of their procedures to be fully automated. With LPL Financial focusing on back-office service and support, advisors are able to focus on their clients’ future rather than on logistic



**Training**

From initial orientation and instruction on new technologies to ongoing guidance in the arts of prospecting, selling, and servicing, our training department offers a broad range of programs, seminars, and events designed to help financial advisors stay at the top of their games. We also offer an extensive curriculum of orientations, conferences, and printed training materials specifically for program managers, helping them to uncover the untapped potential in their programs and, ultimately, to maximize that potential.

These numerous occasions for face-to-face dialogue with our senior management team offer learning and growth opportunities for both financial advisors and program managers in interactive environments.

Whether it's performance development for program managers, financial advisors, or sales assistants, our training department targets those repeatable, sustainable activities that can have the greatest impact on success.

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**Product Management**

LPL Financial Institution Services' product management team is focused on delivering the products you need to be competitive with the pre- and post-sale support you want to grow your business. From investment products and qualified plans to wealth management and insurance services, we pride ourselves on offering a depth and breadth of quality product solutions that is unsurpassed in the industry. We work closely with our product partners to ensure you have access to industry-leading sales ideas, product materials, and wholesaling support. We also shoulder the due diligence process so financial advisors have the research they need to feel confident about the decisions they make.

Offering unbiased product support for insurance, wealth management, and package products, our product management team is your financial consultant's personal resource for the solutions, sales tools, and consultation that help close the business.

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**Advanced Sales Support**

With the goal of driving productivity and increasing efficiency, our sales team consists of a diverse group of specialists who work in concert to provide advisors and program managers with personalized sales and business consulting:

* Relationship Managers
* Business Consultants
* Sales Manager Coaches
* Platform Channel Sales Team
* Wealth Management Group
* Insurance Sales Team
* Fixed Income Desk
* Retirement Center
* Commercial Center
* Technology Services
* Independent Research
* Marketing Consulting

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**Recruiting Consulting**

Our recruiting consultants partner with program managers to deliver full-cycle recruiting support that places the best-matched financial advisors into the financial institution investment program. From candidate sourcing and screening and formal evaluations of leading candidates to offer and negotiation consulting, our recruiting consultants continue to work hand-in-hand with program leadership throughout the on-boarding process to ensure the hiring experience is as smooth and efficient as possible.

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**Marketing Services**

Through our talented and experienced marketing team, we offer numerous ways to maximize program awareness and sales, providing a wide variety of materials branded with your financial institution's logo and personalized with the financial advisor's name and contact information:

* Point-of-sale Materials
* Brochures
* Statement Inserts
* Newspaper Ads
* Prospecting Letters, Articles, and Seminars
* Business Cards and Stationery

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**Transition Services**

Whether launching a new program or converting an existing one, we have a dedicated team in place to make your transition as smooth and quick as possible. Our transition services team is focused exclusively on the details involved in successfully bringing your program on-board with us.

We have the intellectual capital, the resources, and the experience to guide new programs through initial set-up, regulatory review, rep registration, and all of the other important steps that are crucial to getting your program up and running. In addition, our conversion team's industry-proven expertise in manual, tape-to-tape, and block transfers takes the confusion and guesswork out of the transition from your current broker/dealer to either the UVEST or LPL Financial broker/dealer.

With so much at stake, experience really does count, and you can feel confident knowing that we have converted more programs than any other organization.

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**Technology**

To help financial advisors stay informed, effective, and efficient, we deliver and support both internally and externally developed technology applications. Through superior extranet portals, financial advisors and program managers can access online reporting, business planning programs, contact management databases, financial planning calculators and software, and research resources, as well as numerous other tools that help make serving customers an easier and more efficient process.

Our financial institution-focused reporting capabilities for program managers are second to none in the industry, providing program leadership with the data they need to evaluate performance and make informed decisions.

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**Operations**

Our primary focus is to deliver financial services to our partners in a way that minimizes both the human and financial resources required of the financial institution. To that end, we provide superior back-office support for financial institutions, financial advisors, and their customers. We have the dedicated resources to provide account registration and maintenance, cashiering and systematics, transfers, and other processing functions that re crucial to an institution's ability to offer investment services.

For day-to-day support, our broker support desk is available to our financial advisors during business hours on the East and West coasts to assist with transactions, account information, and more. In addition, our customer support desk is available to assist your customers with many of their needs in times when their financial advisors are unavailable. This team will take care of your customers just as you would, strengthening your relationships by ensuring a positive experience with each interaction.

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**Compliance**

Our compliance team prides itself on being a consultative resource to our partner financial institutions. Whether we act as the office of supervisory jurisdiction or the financial institution chooses to act in that role, our compliance team will provide solutions, not just answers; guidance, not just rules.

Our focus is on "smart sales" - providing regulatory guidance in a pro-business environment that seeks to enable, not restrict, our clients in their efforts to serve the best interests of the investor. To this end, our services include:

* Account Review and Approval
* Trade Transaction Supervision and Review
* On-site Branch Audits
* Advertising Review
* Licensing and Registration
* Continuing Education
* Complaint Resolution
* Choice of OSJ Solutions