

Master Rep ID

**Definitions:**

**Brokerage:** 25 or fewer brokerage clients/prospects Communications that discuss LPL business intended for a smaller audience.

**Advisory:** One client/prospect or single communication sent to multiple joint account holders. Client letters, account updates, any other communication sent to a single client.

**Administrative/Operational:** Any number of Brokerage or advisory clients/prospects. Communications to multiple clients/prospects that do not reference or promote a product or service of the firm.

**Submission Options:**

**Option #1:** ClientWorks

- a) Select the checkbox under 'Requires Processing' tab
- b) Under 'Document Type' select 'Non-Electronic Correspondence' (COR)
- c) Enter 'Master Rep ID'

**Option #2:** Email the completed, signed form along with your correspondence to [repimaging.email@lpl.com](mailto:repimaging.email@lpl.com).

**Option #3:** Print, sign, and fax this form along with your correspondence to (858) 202-8660.

**Please Note:** If your file is too large to submit in one submission, please indicate what submission this is. "This is Submission # of #".

**1. Advisor Information (REQUIRED)**

Name of Registered Individual	Correspondence for the Month/Year of	Date of Submission
<input type="text"/>	<input type="text"/>	<input type="text"/>

For HOS Only: Licensed Administrative Assistants must submit their own correspondence form with their own Rep ID

**2. Correspondence Information (REQUIRED)**

TOTAL PAGES OF NON-ELECTRONIC CORRESPONDENCE:  \*Your page count should NOT include this LPL cover page

Brokerage Correspondence (required):  Yes  No

**Please Note:** If you have sent a piece of correspondence to 2-25 recipients, please attach a recipient list.

Advisory Correspondence (required):  Yes  No

**Please Note:** If you have advisory correspondence, please either mark the pages "Advisory" or segregate from Brokerage.

If you do not have any correspondence to submit, please use the 'Submit By E-mail' button. Otherwise, use 'Print Form' and use one of the three submission options above.

Signatures are not required for a 'No correspondence' response.

By signing this form, I attest that all provided information is true and accurate.

\_\_\_\_\_  
Signature Name (print) Date

**FOR LPL HOME OFFICE USE ONLY**

\_\_\_\_\_  
LPL Principal Signature LPL Principal Name / ID (printed) Date

