

Good day,

This guide is designed to help you facilitate your non-electronic correspondence submission in a smooth fashion.

### **General**

The F694 Non-Electronic Correspondence Form needs to be completed in full when submitting correspondence by all Advisors and registered administrative assistants under Home Office Supervision (HOS), and OSJ managers only. Correspondence sent by non-licensed administrative staff for Advisors under HOS should be submitted under the Advisor they support.

***All correspondence is submitted under your Master Rep ID only.***

### **Timing**

Your submission is due within 5 business days of the first request. You will receive a confirmation email within 72 hours of receipt and processing for items received In Good Order (IGO). If your submission is not correct, you will receive a Not In Good Order (NIGO) email requesting you to resubmit your material.

If your correspondence or a corrected submission has not been received by the due date, a second request will be sent 3 business days after the original due date.

### **Submitting Your Non-Electronic Correspondence**

If you have answered 'No' in section 2 on the F694, click on "Submit by Email" and your response will be sent to LPL Financial electronically; all sections of the form must be complete. There is nothing additional to submit.

If you have non-electronic correspondence, please follow the submission process indicated on the F694 and click on "Print Form" button.

### **Important Items to Note**

The F694 is not currently compatible with Google Chrome, Firefox or a MAC computer. This is due to an Adobe PDF form action button compatibility issues with those web browsers so this issue cannot be resolved by LPL.

When clicking on "Submit by Email" an email window will open and the form will be attached as a .xml file. Press send to submit your form. Review your sent folder to ensure that the email was sent to the Correspondence Mailbox.

If you do not see an outgoing email, please select "Print Form"

**In Client works under the Documents tab, go to the "requires processing" checkbox. Select the document type of COR, add the master rep ID and upload the submission.**

**Please see attached User guide as reference.**

**If preferred, below are other options:**

**Fax to 858-202-8660 or email to [Correspondence@lpl.com](mailto:Correspondence@lpl.com) or [repimaging.email@lpl.com](mailto:repimaging.email@lpl.com)**

The form must be signed by the individual associated to the Master Rep ID indicated on the F694. If the appropriate signature is missing, the form will be returned as Not in Good Order (NIGO).

Please note that there is a 10MB size limit on emailed and faxed submissions. Refer to the F694 for submissions greater than 10MB. **Client Works file size is 20 MB**

If you have any questions or need assistance, please contact Correspondence Supervision as listed below.

Thank you.

Correspondence Supervision  
LPL Financial  
Compliance, Legal & Risk

Toll-free: (800) 877-7210 x111378  
Email: [correspondence@lpl.com](mailto:correspondence@lpl.com)

***Work around. Save the blank F694 form to your desktop. Complete the form, save, reply to the email, attach and send back to the correspondence mailbox.***

The form must be signed by the individual associated to the Master Rep ID indicated on the F694. If the appropriate signature is missing, the form will be returned as Not in Good Order (NIGO).

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