

Compliance Requirements

Step-by-Step Guide

Step 1 Educate Yourself on Social Media Policies

Take the time to familiarize yourself with the social media policies and regulatory requirements in Section 15.10 of the LPL Financial Advisor Compliance Manual.

Step 2 Complete the Mandatory LPL Financial Social Media Training

LPL Financial advisors are required to complete Social Media Training prior to using interactive social media sites such as Facebook, LinkedIn and Twitter. Whether you are a first-time user or currently using social media sites, you must complete the training before proceeding with any future social media activity (refer to Advisor Alert for details). The module takes approximately 20 minutes to complete, and will provide the information you need to stay within Marketing Regulatory Review guidelines.

Step 3 Establish an Account on Facebook, LinkedIn and/or Twitter

If you have no established social media accounts, you will need to open an account on each site where you plan to be active.

NOTE: After creating a username and password for each site, do not continue creating your profile. You must first complete the Erado subscription process (see step 4).

Facebook: Go to www.facebook.com. Under **Sign In**, enter your name, approved email address, sex and birthday and then create a password for your account. Click **Sign Up**. Retain your username (email address) and password.

LinkedIn: Go to www.linkedin.com. Under **Join LinkedIn Today**, enter your first name, last name and approved email address and then create a password for your account. Click **Join Now**. Retain your username (email address) and password.

Twitter: Go to www.twitter.com. Under **New To Twitter?**, enter your full name, and approved email address and then create a password for your account. Click **Sign Up**. After creating a username on the next page, click **Create My Account**. Retain your username and password.

Step 4 Subscribe to Erado

For tracking purposes, LPL Financial advisors with accounts on Facebook, LinkedIn or Twitter are required to subscribe to Erado, an archiving service provider. Erado archiving automatically captures and tracks your interactive content, such as updates and tweets, directly from your registered Facebook, LinkedIn and Twitter accounts. Erado charges a yearly fee of \$60.00 per site that is billed to your credit card upon subscription.

Step 5 Create Your Profiles

If you haven't already created your Facebook, LinkedIn, and/or Twitter profiles, now is the time. To get started, use the step-by-step guides within the **Set Up Your Profile Pages** section on **ClientsFirst**.

Step 6 Submit Your Portfolio to Marketing Regulatory Review

Once your profiles have been generated, you must submit each profile to Marketing Regulatory Review for approval before making your profile visible to the public.

Step 7 Get Started with Real Time Updates

Once Marketing Regulatory Review has approved your profile pages, you're ready to start posting real time updates to your sites. Interactive content is subject to post-use review; there is no need to wait for approval. Before you begin, be sure to familiarize yourself with permitted and restricted content and activities with your social media sites. This information is provided in the Social Media Training and LPL Financial Advisor Compliance Manual (Section 15.10).

Your profile and all additional changes to your profile must be reviewed by LPL Financial Marketing Regulatory Review prior to use. For more information about the regulatory requirements for social networking, visit the LPL Financial Advisor Compliance Manual (Section 15.10), posted on the BranchNet Resource Center.