

Master Rep ID

Instructions: Please email completed form to: [lplfinancial.officesharing@lpl.com](mailto:lplfinancial.officesharing@lpl.com).

Request (select one):

- New (FIRST request for this branch)
- Termination (stop ALL office sharing - fill out Office Registration Information section)
- Amendment (CHANGES to a currently approved office sharing - please let us know what is changing in comments section below)

### 1. Office Registration Information

Rep Name (Registered Branch Owner)  Master Rep ID  Current Branch ID (Leave blank for new)

Are you already sharing space with any of the business(es) listed on the following page(s)?  Yes  No

Are you requesting a new branch?  No  Yes. If yes, have you already submitted a request for the New Branch to [licensing@lpl.com](mailto:licensing@lpl.com)?  Yes  No

Office Sharing Location Address  City  State  Zip

OSJ Manager Name  OSJ ID

1. If located in an executive office suite (WeWork, Regus, Impact Hub, etc.), mail is securely delivered and not left on an open desk or in an open mail cubby.
2. If leasing space with firms offering flexible work space arrangements, a permanent (individual-non sharing) secure location is required. Flexible arrangements such as desk sharing, temporary, or alternative solutions are not considered secure.
3. Each business currently has, or within 30 days will have, separate signage at the entrance/reception area.
4. There is no sharing of advertising or displays.
5. The LPL offices have locks. If the offices do not have locks, all Personally Identifiable Information will be secured while away. (Computers, files, monitors will be locked. Desks will be cleared of paper).
6. The LPL filing cabinets have locks, are kept behind locked doors, or all files are electronic.
7. There is a separate lease with rent paid directly to the landlord or the LPL person pays rent directly to the person sharing space. If the LPL person collects the rent for the office, an Outside Business Activity (OBA) must be on file as approved or not required for Real Estate Rental.
8. The LPL office has a separate phone line or there is an automated phone tree that clearly identifies all businesses at this location.
9. If clients are referred to any of the businesses sharing space, an OBA must be submitted.
10. The LPL office has a separate and secure fax, printer and copier. This can be accomplished by either having the fax be electronic, having the fax, printer and copier require a code to release documents or be locked in an LPL office.
11. If client information is stored electronically off of the LPL computer, it must be secured so only LPL people can access it. Do not share storage locations.
12. The LPL OSJ should be aware of and have given approval for the office sharing.
13. If sharing space with someone affiliated with another Broker/Dealer, approval from the Contra Broker/Dealer is required. Please include the letter from their compliance department approving the office sharing.

Submission of this form acknowledges the office's adherence to the above requirements and LPL policies to share office space and if there are any items that require additional consideration, comments have been added in the box below.

LPL Home Office Use Only  Approved  Denied  Not Required  Terminated

Compliance, Legal and Risk Signature

Compliance, Legal and Risk Name (print)

Date



2. Are you sharing space with anyone previously affiliated with LPL Financial?

Yes  No

If yes, please list each individual name.

3. Are you sharing space with anyone currently registered with ANOTHER Broker/Dealer?

Yes  No

If yes, please list each individual name and their Broker/Dealer.

4. Are any LPL Individuals associated with any of the businesses listed in Section 5 below?

Yes  No

If yes, please list each individual name and which business.

5. Please list all NON-LPL people in this location. (LPL Individuals should be listed in Section 4 above.)

A. Business One

Business Name

Business Name held out to public if different

Business Type

Start/Requested Date of Office Sharing

All non-LPL individuals associated with this business.

B. Business Two

Business Name

Business Name held out to public if different

Business Type

Start/Requested Date of Office Sharing

All non-LPL individuals associated with this business.



5. Please list all NON-LPL people in this location. (continued)

C. Business Three

Business Name

Business Name held out to public if different

Business Type

Start/Requested Date of Office Sharing

All non-LPL individuals associated with this business.

D. Business Four

Business Name

Business Name held out to public if different

Business Type

Start/Requested Date of Office Sharing

All non-LPL individuals associated with this business.

E. Business Five

Business Name

Business Name held out to public if different

Business Type

Start/Requested Date of Office Sharing

All non-LPL individuals associated with this business.

F. Business Six

Business Name

Business Name held out to public if different

Business Type

Start/Requested Date of Office Sharing

All non-LPL individuals associated with this business.

