



Instructions for On-boarding a Non-Licensed Admin

The first step to on-boarding any new advisor or support staff member at IAA is the completion of our Intake Interview. The Intake Interview provides IAA with the opportunity to gather information necessary to prepare required forms. Although the Intake Interview is a live call with advisors and licensed individuals, a non-licensed admin may complete an electronic Intake form without the need for scheduling an interview call.

If you would like to add a non-licensed admin to your staff, the first step is to share the following Intake Interview link with them: <https://fs27.formsite.com/JoinTheAlliance/NonLicensedAdmin/index.html> The Intake process will take approximately 15-minutes to complete. Once the submit button- at the end of the form- is clicked, IAA will receive the responses and initiate the on-boarding process.

Please note that part of the Intake process is scheduling and paying for required fingerprinting. Once a zip code is entered all available fingerprinting locations in that area will be listed. Your job candidate will select the location that is most convenient for them and will pay for the fingerprinting appointment at the time it is scheduled. Currently the cost is \$17.50. Many advisors choose to reimburse the candidate for this expense; a receipt may be printed following payment.

A job offer should not be made to the candidate until the following steps have been completed:

- The Intake Interview and fingerprinting have been completed
- The forms prepared by IAA have been signed, returned to IAA and processed
- IAA has approved and signed off on the candidate
- LPL has completed the background check and approved the candidate

This process can take 2-3 weeks so should be started prior to a candidate resigning from a current position.

IAA will be providing the following forms to you:

1. **LPL Non-Licensed Memorandum**; you will select what the admin will have access to, sign the form and have the candidate sign the form. IAA also signs this form to approve the candidate.
2. **IAA Code of Ethics**; the candidate will complete, sign and date this form.
3. **IAA Policies and Procedures Manual**; you will provide a copy of this manual for the candidate to retain.
4. **IAA Policies and Procedures Acknowledgement**; the candidate will sign and date this form.

All forms are returned to IAA either by mail or by scanning each form separately and emailing the attachments to tvoncanon@iaaria.com.