WE HELP FINANCIAL PROFESSIONALS
FOCUS ON WHAT THEY DO BEST

Custom Clearing Services

Flexible, Modular Approach

Our modular approach provides you with maximum flexibility for choosing the solutions that best meet your needs. Services are available á la carte or as bundled packages and include the following:

Back-office clearing services

- Clearing of securities, mutual funds, variable annuities, alternative investments, and investment advisor products
- Technology upgrades at no–cost
- Customized and fully integrated compliance and surveillance reporting system
- Trading, order entry, and business processing technology platform for financial advisors
- LPL Financial independent research
- Data feeds to commission system

Middle-office clearing services

- Dedicated call centers for financial advisors covering: brokerage, retirement, advisory, direct business, research, and technical support
- Custom compliance reports: data files to perform all regulatory oversight activities on business cleared at LPL Financial Custom Clearing Services
- Investment advisory compliance reports for surveillance
- Online financial advisor resource center
- Technology sales tools: reporting system, portfolio review tool, portfolio manager
- Dedicated advisory sales consulting support and training
- Business processing and technology training
- Marketing support

Front-office clearing services

- Client statements including life, annuity, and direct mutual fund information
- Client service center including an equity, fixed income, and mutual fund trading desk
- Client-approved materials with your firm's brand: sales tool outputs, forms, client Web site, and account opening kits
- Client Web site to access account information

LPL Financial