PRIVATE ADVISOR GROUP
REGISTERED INVESTMENT ADVISOR

Checklist for New Office Setup/Integration to PAG

WEEK 1

- ☐ All advisory licensed individuals have completed the U4, printed, signed and returned to Sean Sullivan.
- ☐ PAG Confidentiality Agreements were completed by all access people and returned to PAG.
- ☐ OBA/DBA's are all submitted to LPL including PAG as your DBA and Hybrid Affiliation.
- ☐ All computers are set up according to the Branch Office Security Policy with encryption and passwords.

2-3 WEEKS INTO TRANSITION

- ☐ Titles and Designations were submitted for all employees to ComplianceMAX at LPL.
- ☐ Letterhead, Business Cards, Email Signatures are all submitted to ComplianceMAX.
- ☐ Social Media Training has been taken, and Erado set up for any social media sites, and they were submitted to ComplianceMAX.
- ☐ The PAG Policies and Procedures acknowledgment was returned to PAG.
- ☐ The office has appropriate LPL/PAG/SIPC signage upon entry.

3-5 WEEKS INTO TRANSITION

- ☐ Any compliance and/or procedure questions have been discussed with Julie Galbraith in a follow-up via phone or email.
- ☐ The office understands how to access and maintain their Branch Files.
- ☐ The office is completing the Monday Memo.

Please contact Julie Galbraith at (973) 867-1334 or julie.galbraith@privateadvisorgroup.com with any questions or concerns, or to schedule a call to cover the above topics.