



ONBOARDING CHECKLIST

LUL BASICS

- Client _____
- Contract Signed Date Signed: _____
- Form ADV
- Data Access Forms and Questionnaire Completed
- BD Account Created
- App Downloaded

CYBERSECURITY CHECK

- Identify all smart devices on which financial info will be held. Note if other than Android or IOS
- Using a laptop computer – Note of other than Windows or Mac IOS
- If yes, Using Back-up Software – Which one _____
- Using anti-penetration software – Which one _____
- Using a current anti-virus for email – Which one _____
- Using Identity Theft Protection – Which one _____
- Using a Password Manager – Which one _____
- Using a VPN – Which one _____

BANKING AND TRADING (DATA ACCESS FORM)

- Existing primary bank relationship
- Existing primary trading relationship
- Need international banking? – Which Country _____
- Other Banking relationships? – Which one(s) _____
- Other Trading relationships? – Which one(s) _____
- Use banking app? – Which one _____
- Use trading app(s)? – Which one(s) _____

BUSINESS INFORMATION

- Current contract or key agreements (including promotional agreements)
- Information on other business entity ownership
- Received, if any?
- Unreimbursed expense monitoring? If so, which software _____
- State residency _____
- State where you file taxes _____

ONBOARDING INFORMATION

- Received Trading accounts Date: _____
- Confirmed BD feed for client Date: _____
- Received Banking accounts Date: _____
- Confirmed BD banking feed for client Date: _____
- Received alt asset accounts Date: _____
- Confirmed BD alt asset feed for client Date: _____

BD CLIENT ACCOUNT ACTIVITY

- Household and consolidated accounts created
- Assigned team
- Onboarded for podcast access
- Onboarded for BD APP
- Billing completed