WOODBURY FINANCIAL
Member of Advisor Group

For Financial Advisor Use Only

Online Registration Center

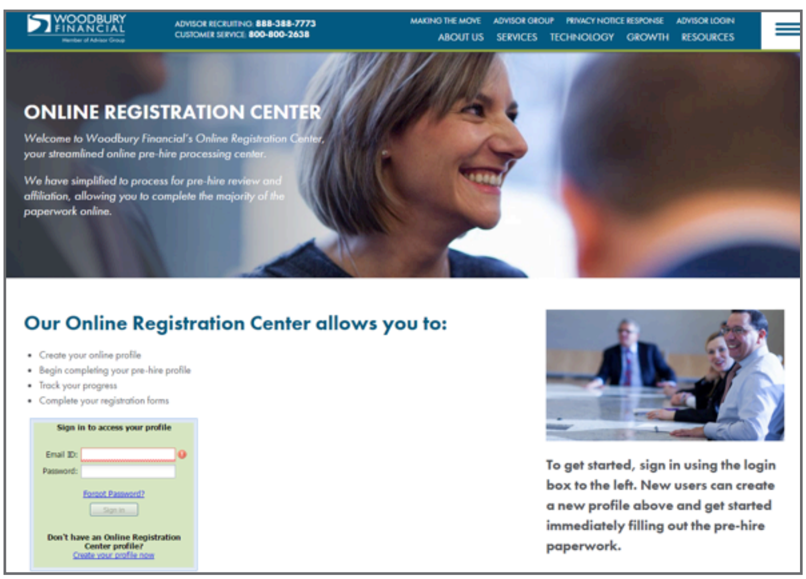
Woodbury Financial's Online Registration Center (ORC) is your one-stop resource for an easy and efficient on-boarding process. This web-based system significantly streamlines the on-boarding process, guiding you through the necessary steps.

Benefits of the ORC:

- Replaces dozens of pages of manual forms,
- Gives you the flexibility to complete the registration process at your own pace,
- Guides you through the process and uses smart-tool technology to adapt the questionnaire to your particular responses.

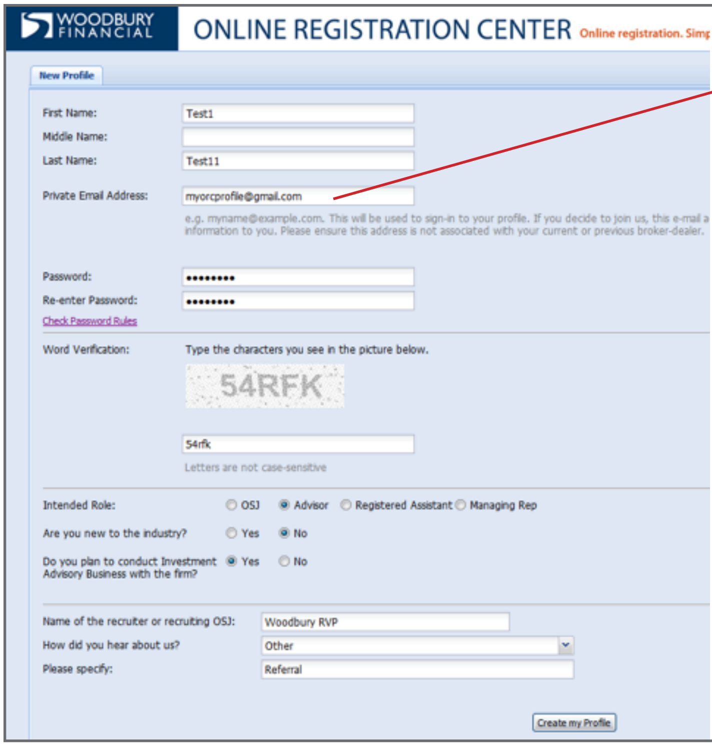
https://www.joinwoodbury.com/signup

1. Click **Create your profile now**



HELPFUL TIPS:

- Access the ORC using Internet Explorer; other browsers aren't compatible. Also, iPhones/iPads aren't compatible.
- Always save your work before leaving a page.
- Complete all required fields as noted with an asterisk.
- Use the scroll bar to ensure you have completed the entire page before you "Save and Continue."
- All completed sections will have a green check mark on the navigation bar.
- You can click on "Status of Application" at any time.

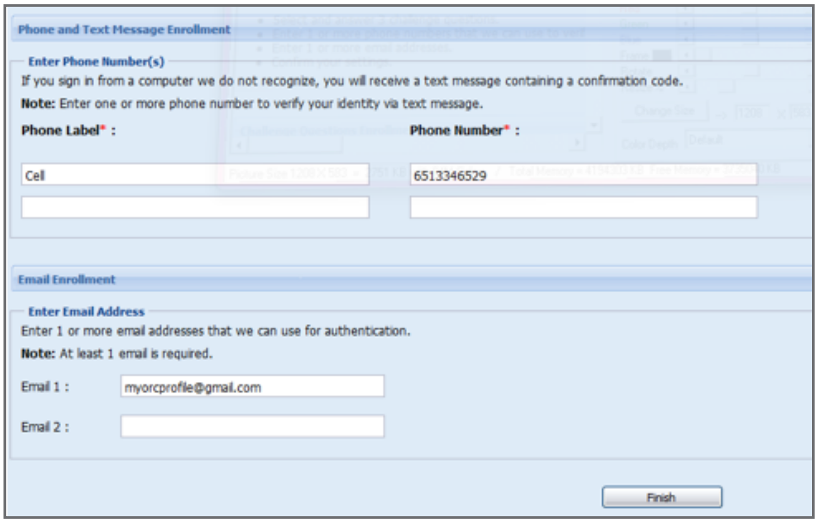


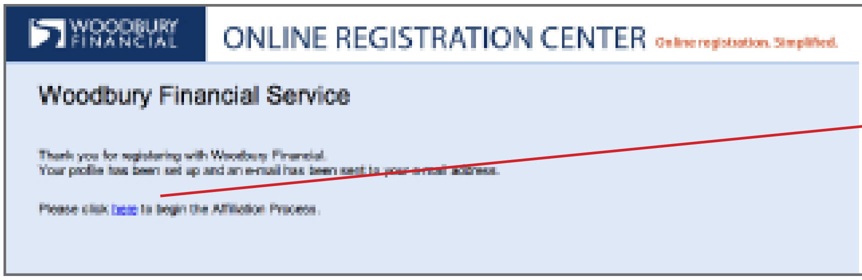
The email and password you provide when creating your profile will be used as your User ID and password for future logins into the ORC.

PLEASE NOTE: Passwords can only be 8 characters in length, use both upper and lower case letters and at least one number and special character.

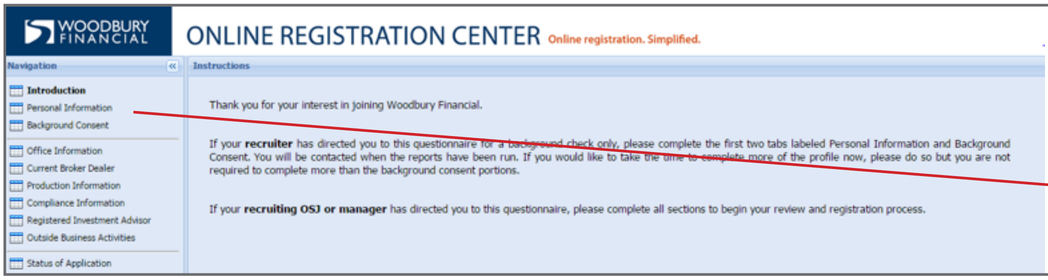
2. Set up your **Security Profile**

After confirming your profile set up information, you will be taken to the Security Enhancement page, where you will set up your security profile (challenge questions, phone/text, email). These will be saved for future log in use.

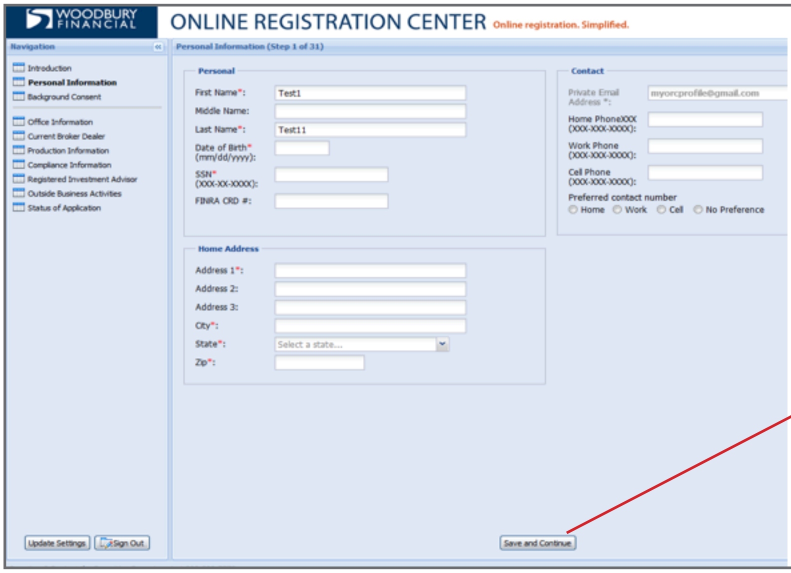




3. This screen confirms your registration. Click to begin affiliation process.



4. The Introduction screen will appear. To begin, click **Personal Information**



5. Complete all required fields in the **Personal Information** and **Background Consent** sections. Click **Save and Continue**.

The Onboarding team will generate a credit report and CRD. If all required fields are completed, you will notice a green check mark on the left navigation and the profile will be in a "prehire review" status. At this time you can complete the remainder of the questionnaire.

If you have questions, contact the Advisor Selection team at 888-388-7773.

SECTION	INFORMATION CAPTURED
Personal Information	Indicate your name, date of birth, and Social Security Number for identification purposes.
Background Consent	This section is used for initial background check and credit check.
Office Information	Indicate your intended role — where and with whom you will be working.
Current Broker-Dealer	Include your current broker-dealer and clearing firm, monies owed by you, and whether or not you have a non-compete.
Production Information	Include your production, product mix percentage, and top fund families.
Compliance Information	Indicate how and where you conduct business — include business web and email addresses, social networking participation, and whether or not you have discretion for your clients.
Registered Investment Advisor	Indicate if you are conducting business under a Corporate or Independent RIA and what services you provide to clients, including 3040 business with assets that are held "away."
Outside Business Activities	List business that you conduct outside the firm. Complete all required fields and use the scroll bar at the right for additional questions and to save/ complete the tab.
Once you complete the Outside Business Activities section, you can go no further until you receive approval. Your CRD and credit report will be generated and sent to Compliance for review. Once approved, you will receive an email from Onboarding to continue with your profile by completing the sections listed below.	
Form U4 and Fingerprints	Include your employment, OBA, biographical and disciplinary action information. This section provides information about where and how to submit electronic fingerprints to the firm.
Direct Deposit	Indicate if you would like to receive your commission payments via check or direct deposit. If you prefer direct deposit, complete the entire section, digitally sign, print, and fax or mail along with a copy of a voided check to our Onboarding team.
Email and Technology Setup	In most cases, your Woodbury Financial email is set up in advance. If you have your own vanity domain(s), you will need to work with the Email Service team to help facilitate moving them over.
Corporate IA	Indicate the services you will provide and the state(s) you would like to be registered in under the Woodbury Financial Corporate RIA. You will also indicate if you have any Personal Securities Accounts you will be holding away from the firm.
Independent Contractor Agreement	You will consent to the Independent Contractor Agreement by entering your name and date in the document.
Insurance Carrier	Indicate the specific carrier(s), product type(s) and state(s) with which you need to be appointed. We will mail you forms for the companies that are not electronic and require paperwork.
Compensation	Provide information about your payout for each product. If you indicated you intend to conduct advisory business, you will include advisory payout information on the IA Compensation section.
Status of Application	You can click on Status of Application at any time to determine the status.

1 All information provided should match what is on your U4. If you are no longer participating in an activity, you will have the opportunity to update this upon affiliation.

2 Please supply copies of the current statements when affiliating.