



Adding a new entity client to LEADERSlink

When logged into LEADERSlink search for the entity client by SSN/TIN or name - for a person account, see client procedures

If the entity account record comes up, then see procedures for “Updating a Client”. If nothing comes up, then click on Create New and select Account.

As of 5/11/2018, we are required by FINRA and the SEC to attain the information for the beneficial owners of all entities (refer to Entity New Account Investment Profile). In order to fulfill this requirement, we will now ask you to create a “Household” to establish the relationship between 3 different account types: **Business Account**, **Control Person**, and **Beneficial Owner**.

To start, select Create New... on the left side of your screen and select Account

Home Dashboards Payout

LeadersLink Resources

- Advizr
- RightBridge
- Training Videos
- Starlight Portfolios
- FINRA Manual

Create New...

- Event
- Task
- Account
- Home Office Request
- Books & Records Docs

Split Test For Bill And Joe -
Mr Test 1000
John T Client

Messages and Alerts

In the dropdown, select "Households"

Create New...

Shortcut

- Calendar

Recent Items

- BRD-6819
- John Test
- Test Household
- Test Control Person 1
- Beneficial Owner Test 1
- Beneficial Owner Test 2
- John T Client Household
- John T Client

New Account
Select Account Record Type

Select a record type for the new account.

Select Account Record Type

Record Type of new record

Available Account Record Types

Record Type Name	Description
Beneficial Owner	

Enter the business name and the word “Household”. Adding the word Household in the title helps distinguish between a household record and a client record.

Account Edit Save Save & New Cancel

Account Information

Account Name Account Record Type Households

Advisor

System Information

Parent Account

Save Save & New Cancel

Once complete, your screen should look like this. From here, you will create the 3 types of accounts: **Business Account**, **Control Person**, and **Beneficial Owner**

[+ Show Feed](#)

✓ Account has been saved.

[← Back to List: Accounts](#)

[Households Members \[0\]](#)

Account Detail Edit

Account Name Business Name Household [\[View Hierarchy\]](#) Account Record Type Households [\[Change\]](#)

Advisor [Bill Advisor](#)

System Information

Parent Account Edit

Households Members New Account

No records to display

[^ Back To Top](#) Always show me fewer ▲ / ▼ more records per related list

To create a control person, click the “New Account” button in the “Households Members” section (under the edit button in the image above)

From the dropdown, select “Control Person” and press continue

 **New Account**
Select Account Record Type

Select a record type for the new account.

Select Account Record Type

Record Type of new record

Available Account Record Types

Record Type Name	Description
Beneficial Owner	
Business Account	
Control Person	
Households	
Insured	
Minor	
Person Account	
Prospect	
Prospect Business	

Enter in the information for the control person. If they are not a US citizen, you will have to provide their country of citizenship as well as their passport number as the unique ID if they do not have a SSN.

Person Account Edit Save Save & New Cancel

Account Information

Salutation	--None--	Account Record Type	Control Person
First Name	James	Advisor	Bill Advisor
Middle Name		Soc Sec Number	
Last Name	Knight		
Suffix			
Birthdate	01/01/1990		
Unique ID	123456555		
Title	President		
Email	james@leadersgroup.net		
Phone	(303) 797-9080		
Households	Business Name Household		

Address Information

Primary Street	26 W Dry Creek Cir
Primary City	Littleton
Primary State/Province	CO
Primary Billing Zip/Postal Code	80120
Primary Country	USA

ID Info

U.S. Citizen	Yes
ID Type	--None--
Country	--None--

After clicking save, click on the household to bring you back to the household record. You will create all accounts from the household.

For the Beneficial Owner information, you may have to repeat this process up to 4 times depending on how many beneficial owners are listed on the Entity New Account Investment Profile.

Accounts Home Office Requests Books & Records Docs

New Account
Select Account Record Type

Select a record type for the new account.

Select Account Record Type

Record Type of new record: Beneficial Owner ▼

Continue Cancel

Available Account Record Types

Record Type Name	Description
Beneficial Owner	
Business Account	
Control Person	
Households	
Minor	
Person Account	
Prospect	
Prospect Business	

Just like for the Control Person, fill out the beneficial owner information. If they are not a US citizen, you will have to provide their country of citizenship as well as their passport number as the unique ID if they do not have a SSN.

Person Account Edit Save Save & New Cancel

Account Information

Salutation: --None--
First Name: Tate
Middle Name:
Last Name: Krumwiede
Suffix:
Birthdate: 01/01/1991
Unique ID: 121221234
Households: Business Name Household

Account Record Type: Beneficial Owner
Advisor: Bill Advisor
Soc Sec Number:

Address Information

Primary Street: 26 W Dry Creek Cir
Primary City: Littleton
Primary State/Province: CO
Primary Billing Zip/Postal Code: 80120
Primary Country: USA

ID Info

U.S. Citizen: Yes
ID Type: --None--
Country: --None--

Save Save & New Cancel

After clicking save, click on the household to bring you back to the household record. You should repeat this process for as many beneficial owners that are listed. Once you are done creating all of the Beneficial Owners, you should now create the Business Account from the Household.

From the Household record, select new account, and choose the Business Account in the drop down. Select continue.

New Account
Select Account Record Type

Select a record type for the new account.

Select Account Record Type

Record Type of new record: Business Account

Continue Cancel

Available Account Record Types

Record Type Name	Description
Business Account	
Households	
Person Account	
Prospect	
Prospect Business	

From the Entity New account Profile form, enter the following data.

The screenshot shows the 'Account Edit' form with the following fields and values:

- Account Name: [Empty]
- Insured Name (if owned by trust): [Empty]
- Date Established: [11/22/2017]
- Net Worth: [Empty]
- Phone: [Empty]
- Tax ID Number: [Empty]
- Unique ID: [Empty]
- Households: [Empty]
- Account Record Type: Business Account
- Advisor: [Empty]
- State Organized: --None--
- Type of Business: --None--

Buttons: Save, Save & New, Cancel. A red exclamation mark icon indicates required information.

1. Account Information

- a. Account Name
- b. Insured Name (if owned by a Trust)
- c. Date Established
- d. Tax ID Number
- e. Unique ID – (if this field errors out due to the trustee having their own personal account, then add a lower case “e” to the end of the Tax ID Number)
- f. Advisor (this will be the same Advisor code used when setting up the Household)
- g. State Organized
- h. Type of Business
 - i. For most 401(k)’s, choose “Corporation”

The screenshot shows the 'Address Information' form with the following fields and values:

- Primary Street: [Empty]
- Primary City: [Empty]
- Primary State/Province: [Empty]
- Primary Billing Zip/Postal Code: [Empty]
- Primary Country: [Empty]
- Mailing Street: [Empty]
- Mailing City: [Empty]
- Mailing State/Province: [Empty]
- Mailing Zip/Postal Code: [Empty]
- Mailing Country: [Empty]
- Address Changed: [11/22/2017]

Buttons: Copy Primary Address to Mailing Address

2. Address Information

- a. Primary Street
- b. Primary City
- c. Primary State/Province
- d. Primary Billing Zip/Postal Code
- e. Primary Country
- f. If the entity has a separate mailing address, then also complete the Mailing Street, Mailing City, Mailing State/Province, Mailing Zip/Postal Code and Mailing Country fields
 - i. If Primary Address is the same as the Mailing Address, click the “Copy Primary Address to Mailing Address” on the right hand side (in blue text)

Click Save

Here is what a completed Business Account should look like

Accounts Home Office Requests Books & Records Docs Invoices

Account
The Leaders Group

Show Feed

Back to List: Accounts

Compliance Approvals (Client) Contacts NAF Books & Records Docs Activity History Open Activities Notes & Attachments

Launch LaserApp Anywhere Business

Account Detail

Account Name	The Leaders Group View Hierarchy	Account Record Type	Business Account
Insured Name (if owned by trust)		Advisor	Bill Advisor
Date Established	11/22/2017	State Organized	CO
Net Worth	\$123,456	Type of Business	Corporation
Phone	(303) 797-9080		
Tax ID Number	123456782		
Unique ID	123456785		
Households			

Address Information

Primary Address	26 W Dry Creek Cir Suite 575 Littleton, CO 80120 USA	Mailing Address	26 W Dry Creek Cir Suite 575 Littleton, CO 80120 USA
			

Address Changed

From the Business Account, you will create a BRD record and upload your documents there. Please see the separate procedures for that.

By clicking on the Household from the Business Account, you can go back to see everyone related to the business account in one area. If done correctly, the household record should look something like this:

 Account
Business Name Household

[Show Feed](#)

[← Back to List: Accounts](#)

[Households Members \[3\]](#)

Account Detail [Edit](#)

Account Name	Business Name Household [View Hierarchy]	Account Record Type	Households [Change]
		Advisor	Bill Advisor

System Information

Parent Account [Edit](#)

 **Households Members** [New Account](#)

Action	Account Name	Account Record Type
Edit	Business Name	Business Account
Edit	James Knight	Control Person
Edit	Tate Krumwiede	Beneficial Owner