

TRANSITIONING TO LPL

Your Guide to Day 1: What to Expect

Topic	What's changing on Day 1?	What's staying the same?	In the Longer-Term
Technology	<p>Now have access to LPL Systems & LPL@Work through VDI using the VIP token for login</p> <p>You will receive an lplfinancial.com email address</p> <p>You will have access to LPL shared drives, web conferencing and more</p> <p>You will begin using LPL's WebEx to schedule and attend future conferencing meetings</p> <p>You will receive an icon on your computer that will grant you access to the LPL network</p>	<p>You'll still have access to W&R Systems</p> <p>You'll have access to your W&R computer and equipment.</p> <p>You'll continue to use your current equipment—computer, monitor, printer, etc.</p>	<p>Expect LPL equipment between late July -early August timeframe</p> <p>Return of WDR equipment will be coordinated between late July -early August timeframe</p> <p>At tape-to-tape; you will migrate to LPL environment / systems</p>
Procurement	<p>New contracts go through LPL Procurement process.</p> <p>Contract amendments will require LPL consent from (Procurement.Mailbox@lplfinancial.com)</p>	<p>Existing contracts are paid through W&R existing process, except they require approval of LPL</p>	<p>Procurement will follow LPLs BAU Process</p> <p>Additional materials will be located on the Box site on the future state PO process</p>
Real Estate	<p>New space. Separate locations for LPL team and Macquarie teams</p> <p>LPL management of old branch leases</p>	<p>For badging/access issues, go to Macquarie W&R team.</p> <p>You'll continue to work remotely</p>	<p>Return to office (additional details will be provided in the near future)</p>
Finance, Accounting, & Internal Audit	<p>LPL oversight of BAU</p>	<p>These functions will continue to be provided by Macquarie W&R team</p> <p>Advisors will still go to this team for commissions questions and support</p>	<p>These functions will continue to be provided by MQG / WDR team for trailing activity and tax services through end of TSA period</p>
HR	<p>Welcome to LPL you are now an LPL employee. You will get your first paycheck on 5/14?.</p>	<p>Your salary with LPL beginning on May 1, will be your Waddell and Reed salary as of April 30, and is inclusive of any merit increase you receive in Marc.</p>	<p>LPL will align employees to long term salary levels and discretionary comp structure; assimilation to titling an long term roles</p>
Compliance	<p>WDR CCO & Chief of Supervision will provide monthly readouts and supervision attestation to LPL CLR leadership</p>	<p>Reporting structure will remain BAU</p>	<p>Employees and Advisors will be supervised by LPL</p>
Legal	<p>All legal functions are transitioning to LPL on Day 1</p>	<p>N/A</p>	<p>N/A</p>
Marketing & Product Development	<p>LPL oversight of BAU</p>	<p>These functions will continue to be provided by Macquarie W&R team</p>	<p>LPL will transition and / or sunset the operations</p>
Your role	<p>Once the conversion is completed, if you join LPL in an ongoing opportunity, we'll discuss your transition into a similar role within LPL Financial at that time</p>	<p>We don't expect the job responsibilities for roles supporting the operation of the Waddell & Reed broker-dealer to change. The focus for most roles will be to operate as-is, without any significant changes to job duties</p>	<p>Will be discussed in future communications, trainings, etc.</p>

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Who do I call?	LPL	W&R
Technology	For LPL system issues: Call 833-958-6565 Submit a ticket via LPL Employee Self-Service Portal (formerly BTS Service Catalog) Access LPL@Work	For W&R Systems call the Waddell & Reed help desk at (800) 366-4673.
Procurement	New contracts go through LPL Procurement process. Contract amendments will require LPL consent from (Procurement.Mailbox@lplfinancial.com)	Existing contracts are paid through W&R existing process, except they require approval of LPL
Real Estate	Questions about space assignments InTheOffice@lpl.com	Badging, access issues go to Macquarie W&R team. Building services and mail services request go to Macquarie W&R team.
Finance, Accounting, & Internal Audit	Employee payroll will move to LPL. You will receive your first check from LPL on 5/14/2021	These functions will continue to be provided by Macquarie W&R team including accounts payable. Advisors will still go to this team for commissions questions/support.
HR	LPL Workday for timecard submission and approvals HR Support -HRSC.support@lpl.com LPL@Work -myHR page	W&R Workday for history
Compliance	WDR leadership will reach out to the respective CLR leaders.	Employees will reach out to their existing leadership.
Legal	All legal functions are transitioning to LPL on Day 1. Tyler McCormick will be joining LPL and can assist with questions.	N/A
Marketing & Product Development	LPL oversight of BAU	These functions will continue to be provided by Macquarie W&R team. Contact for FMG Suite, Proofpoint, Company Store, Harte Hanks, Broadridge, PostyCards, Skyline, WebbMason and Waddell.com. Also for Social Media (Facebook, LinkedIn, Twitter, Youtube)
Advisor Call Center	For questions from advisors on the transition of their licenses and client accounts: Direct the advisor/office to contact their dedicated conversion consultant	Privacy Requests Warm transfer requests from Ivy (Asset Manager)