

LPL Human Rights Statement of Principles

At LPL Financial, how we conduct business is as important as the business we conduct. Our respect for human rights is embedded in everything we do and in our values as a firm. Our company policies promote practices that are consistent with the UN Guiding Principles on Business and Human Rights and the Principles for Responsible Investment, and they are endorsed by our CEO and board of directors.

Our Commitment

It is our commitment to conduct ourselves in a lawful, professional, and ethical manner. The work our LPL employees and independent advisors do every day makes a difference to millions of people across the country. We take that very seriously. We believe we can make a positive difference if we begin by respecting the basic fundamental freedoms of human rights.

Our Employees

LPL is committed to respecting the human rights of our employees through internal employment policies and practices included in our Code of Conduct, which includes the promotion of a diverse, ethical, and inclusive workplace in addition to the safeguarding of employee personal information. We offer equal employment opportunity to all, and do not tolerate discrimination or harassment. We abide by all labor laws and regulations in all regions where we conduct business, including: child labor, forced labor, equal pay, and nondiscrimination.

Providing a safe and healthy workplace that is free from violence, harassment, and other unsafe or disruptive conditions is top of mind at LPL. In addition to complying with applicable safety and health laws, we gain feedback from our employees on ways to continually improve their work environment.

Our Financial Professionals, and Their Clients

We take care of our financial professionals, so they can take care of their clients. That's our mission statement and it permeates everything we do—just as our corporate values guide us in how we work.

LPL and our financial professionals take seriously our responsibility not to

deny customers access to investment advice based on race, religion, gender, sexual orientation, or socio-economic status. We also strive to ensure that all of our services are accessible and designed to serve the varied needs of the diverse populations we serve and the needs of those with disabilities.

The ever-increasing threats from bad actors globally to obtain personal data and sensitive financial information makes the potential for data breaches a heightened risk that we manage as a top priority to prevent the infringement of our customers' and potential customers' privacy rights. We similarly prioritize the fair, ethical, and lawful collection, use, and processing of customers' personal information, which respects individuals' privacy rights.



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Our Vendors

LPL strives to work with vendors whose policies and practices regarding human rights are consistent with our own. Our supply chain mission is to:

- Deliver sustainable, ethical practices and leadership to enable the selection of external partners to drive the best service, quality, and value for LPL while appropriately mitigating risk.
- Provide leadership to our business partners through LPL's centrally-led Vendor Management Program to ensure that any contractual and performance risks are effectively mitigated.
- Drive operational excellence through management of the requisition, contracting, payment processing and associated systems.

Modern Slavery and Human Trafficking

We recognize that our business practices and supply chains may reach different parts of the world

and thereby the potential exists for modern slavery and human trafficking offenses. Therefore, we have taken steps to manage the risk and regulate our network of vendors by implementing policies, procedures, risk assessments, and training to our Vendor Owner population.

Our Communities

We are aware of the impact our business has beyond our bottom line and, as a result, we strive to consider the upstream and downstream implications of running our business—including impacts on the communities and environments in which we operate.

Through support from the LPL Financial Foundation, LPL's charitable arm, and the volunteer hours donated by employees and advisors, LPL works to increase access to career pathways for under-resourced teens and young adults. Our efforts include mentoring underserved youth, providing resources for student success, and supporting educational

guidance to help students stay in school, graduate, and attain a career. As part of the effort to increase access, LPL supports initiatives that help students manage their personal financial resources, including those that enhance familiarity and comfort with fundamental skills such as setting financial goals, budgeting, and managing funds.

Through our public policy advocacy, LPL helps to advance solutions that protect seniors and vulnerable adults from financial exploitation. We are proud to have assumed a leading role in the passage of the Senior Safe Act, legislation that enables financial institutions, government agencies, and adult protective services agencies to detect and address signs of senior fraud, exploitation, and abuse.

We are committed to improving peoples' lives, preserving the fundamental freedoms of all we connect within the communities we serve and, in the process, enriching the lives of our employees and advisors as well.

Any stakeholder who believes LPL has not operated in accordance with this statement or has witnessed any action believed to be in violation of our Code, please, report it by calling the **Whistleblower and Integrity Hotline** at any time at **(866) 418-2852** so that we can take appropriate remedial action.

Violations or noncompliance may be reported anonymously. The toll-free number is managed by an outside, independent service provider and allows anyone to make a report without divulging his or her name. Individuals may also make such reports in writing to:

The Whistleblower and Integrity Hotline

Attention: Integrity Ombudsperson
LPL Financial LLC
75 State Street, 22nd Floor
Boston, MA 02109