SERVICE 360

PLAYBOOK: TEAM 40

Team-Based Solution

FEATURES:

- Dedicated service from a small team who takes exclusive ownership of your service needs
- The opportunity to establish a personalized working relationship with your Service360 team members
- A single number to call with Interactive Voice Recognition
- Quicker, more direct processing of operational requests
- A single point of contact from start to finish, including issue resolution and follow-up

Service360 is a team-based service solution that provides a personalized single point of contact focusing on the qualities that matter most to you:

Accuracy	Consistency	Follow-Up

LEADERSHIP:

The Service360 Team leadership members, Scott Davis and Francesca Solano, take ultimate responsibility for their team's delivery of outstanding service. They serve as your primary points of contact in the event a service issue needs to be escalated. In addition, LPL Financial welcomes your feedback on how Service360 can better service your firm and support you with achieving your goals.

Navigating Service

In addition to your Service360 team; your office has access to Specialized Service Teams to assist with your transactional-based questions regarding New Accounts, Move Money Tool, Account Transfers, Direct Business and Managed accounts (OMP, MWP, PWP, Manager Select).

Service360 Team Features

- Point-of-contact for questions covering multiple areas or issues (New Accounts, Direct Business, Account Transfers, and Move Money)
- A team manager and team lead who are easy to reach and take ultimate responsibility for their team's delivery of outstanding service and/or are your escalation point of contact
- The opportunity to establish close working relationships with your Service360 team members
- Unsure of who to call? Contact your Service360 team

Specialized Service Team Features

- Specialized Teams are subject matter experts in one area of focus:
  - New Accounts, Direct Business, Account Transfers, and Move Money
- Complex Specialized teams are focused on technical and transactional inquiries: Retirements, Managed Accounts, Compliance and Registration, Client Compensation, Estate Team (Death and Divorce)
  - Specialized Team Service Professionals are empowered to perform some operational tasks on first call

Managed Outside the Service360 Team

If you need assistance from any of the following teams, you can reach them directly using the IVR.

- Annuity Order Entry - via Trading option
- Client Compensation
- Compliance and Registrations
- Corporate Actions
- Estate Team (Death and Divorce)
- Financial Planning
- Retirement Services
- Sales and Insurance Group
- Technical Support
- Third Party Wire Team
- Trading

HELP CENTER

Your one-stop shop for the comprehensive information you need to run your practice.

Access information any time

- Always on (24 x 7 x 365)
- New and updated content weekly
- Intuitive design

Find accurate and consistent answers

- Extensive content for all affiliation models
- Accurate and consistent answers for you and your clients to help reduce NIGOs
- Continuously updated information based on your feedback

Save valuable time

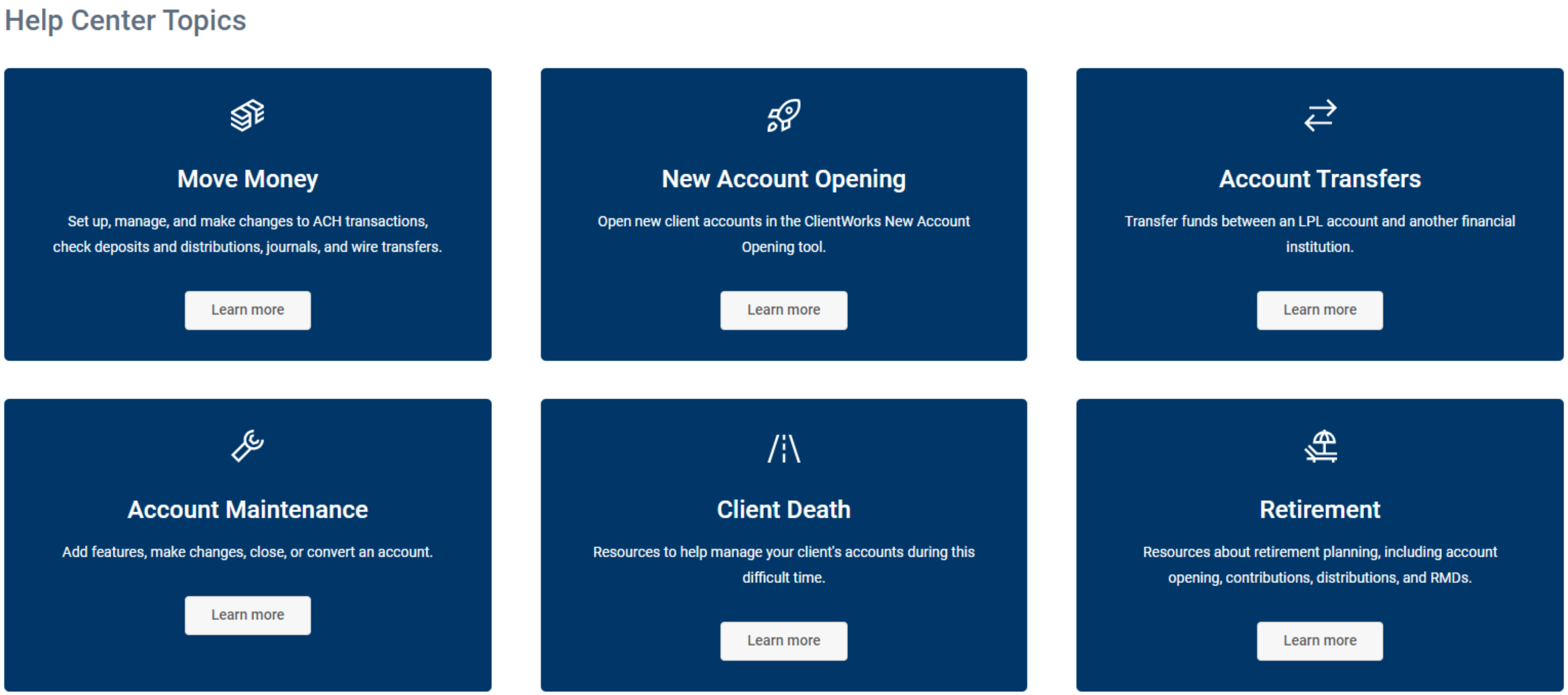
- Easily and quickly move money or open a new account
- Get answers to questions on multiple topics in one place
- Coming in 2023: Connect to the largest independent network of advisors in the world, and quickly learn for others' experiences.

Give the Help Center a test drive today. Find it in ClientWorks, located on the Resource Center homepage.

Navigating the Help Center

The Help Center is the fastest way to get answers to your questions. Located on the Resource Center homepage, you'll find topic-driven hubs— Move Money, New Account Opening, Account Transfers, Account Maintenance, Client Death, and Retirement— to help you find what you're looking for as quickly as possible.

Each hub page includes access to libraries containing basic and advanced content and videos. You also have the ability to provide LPL with real-time feedback to let us know if the content was helpful. Your feedback helps guide changes and prioritize improvements to the Help Center.



Navigating Service - IVR

Use your voice with LPL Financial Service phone systems to eliminate menus and connect quickly to the best person to answer your question. Once you call, navigate to the Service menu. We'll ask you one question, and your answer takes you to the right resource.

Account Transfers	Compliance and Registration	Direct Business	Move Money	New Accounts
• ACAT • Account Transfer • Account Transfer Tool • Incoming Transfer • Outgoing Transfer • Transfer Status	• Compliance • Compliance Questions • Continuing Education • New Employee • Rep Registration • State Registration • Termination	• Branch Trade Report • Direct Business • Linking Accounts • Networking • Rep ID Change • Sponsor Accounts	• ACH • Branch Deposit • Checks • Check writing • Journals • Remote Deposit • Third Party Wire • Wire	• Change Address • Close Account • Collateral Account • Customer Identification Program (or CIP) • New Account Opening • Power Of Attorney • Restrictions • Suitability • Trust Account

Retirements	Service360	Technical Support	Trading	Other Terms
• Coverdell ESA • Excess Contribution • IRA • Required Minimum Distribution (or RMD) • Retirement Plans • Recharacterization • Roth Conversion	• Speak Your S360 Team Number "Team 40"	• AccountView • ClientWorks • Email • eSignature • Login • Password Reset • Tech Support	• Advisor Sleeve • Alternative Investments • Annuity Order Entry • Commodities • Enhanced Trading • Equity Trading • Fixed Income Trading • Mutual Fund Trading • Trading	• Advisory Billing • Advisory Consulting • Annuity Consulting • Client Compensation • Client Technology Management • Estate Team • Financial Planning • Insurance • Managed Accounts

Navigating Service – Live Chat and Call Me

You can also access Live Chat and Call Me Features through the help option (?) in ClientWorks.

Live Chat Features

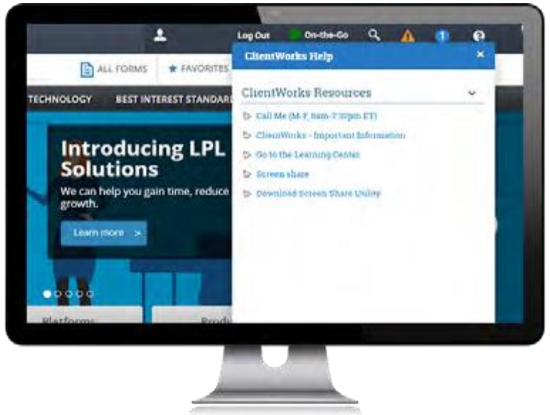
- **Hours: 8:00 a.m. – 7:30 p.m. ET, Monday – Friday**
- Help on Your Terms: Live Chat enables you to more easily multitask while a Service Professional works on your request.
- Ease of Use: If there's a need to convert your chat to a live discussion, the Service Professional will do so seamlessly without the need to re-authenticate.*
- Specialized Help: The pre-chat survey connects you to a specialized Service Professional, similar to the IVR where you're routed to the most qualified person to help with answer your question.

*Your chat will be routed to a certified subject matter expert, not your Service360 Service Professionals

Call Me Features

- **Hours: 8:00 a.m. – 7:30 p.m. ET, Monday – Friday**
- Use Call Me within ClientWorks: Select topics from a drop-down menu so you don't have to explain what you need help with to a Service Professional.*
- We call you: We directly connect you with a Service Professional equipped to answer your question, based on your selected topic.
- Enhanced and personalized identification: We'll know who's calling based on your ClientWorks login.
- Tell us where to call: We'll contact you at the number of your choosing.

*Your call will be routed to a certified subject matter expert, not your Service360 Service Professionals



Contact Us

Service360 Telephone Menu (888) 575-4742

Speech-enabled prompts: You tell us what you need, and you'll get a trained Service Professional.

Hours of Operation:
8:00am – 8:00pm ET
Monday-Friday

Email:
RIAService360@lplfinancial.com

1 Trading
2 SERVICE
3 Technical Support
4 Compliance & Registration
5 Alternative Investments
6 Retirement Services
7 Client Compensation
8 Sales & Insurance
9 Marketing

Press Pound # for Touch Tone Menu

1 Trading
2 SERVICE
3 Technical Support
4 Compliance and Registration
5 Retirement Services
6 Client Compensation
7 Growth Solutions
8 Marketing

SERVICE:

1 Move Money
2 New Account & Account Maintenance
3 Account Transfer
4 Direct Business
5 Managed Accounts (OMP, MWP, PWP, Manager Select
6 Estate Team
7 Service360 Team

USE YOUR VOICE

Service360 Team (Speak your Service360 Team Number, e.g. team 40)

Specialized Service Teams
(Use your voice to connect quickly with a Specialized Team Service Professional)

Move Money
Say ACH, Checks, Deposit, Journals, Wire

New Account & Account Maintenance
Say Open Account, Update Account, Restrictions

Account Transfer
Say ACAT, Account Transfers, Non-ACAT, Transfer Status

Direct Business
Say Networking Request, Direct Business

Managed Accounts (OMP, MWP, PWP, Manager Select)
Say Managed Accounts, MWP

LPL Mailing Address
LPL Financial Attn: *Name of Specific Department*
P.O. Box 6575
Fort Mill, SC 29715

LPL Overnight Mailing Address
LPL Financial Attn: *Name of Specific Department*
1055 LPL Way Fort Mill, SC 29715

Contact Us

If you have a concern that you'd like to escalate, please use the contact information below, starting with your Service Resolution Professional.

Service360 Team Escalation Path

Francesca Solano Service Resolution Professional Service	**Scott Davis** *Manager* *Service*	**Heather Havens** Vice President RIA Service
(704) 426-4321	*(704) 426-4981*	*(858) 909-7478*
Francesca.Solano@lplfinancial.com	*Scott.Davis@lplfinancial.com*	*Heather.Havens@lplfinancial.com*

LPL Financial Member FINRA/SIPC

Service360 Team 40 Leadership

Scott Davis

Service Manager

Scott, originally from Washington state, graduated from Gonzaga with BS in Mechanical Engineering and a minor in Philosophy. Scott spent the last 20 years in customer service and joined LPL in 2017. He spent several years with LPL Tech Support before his transition to RIA Service360. As a child Scott spent several years outside of the US and developed a love of travel and culture. He enjoys spending time with his family, hiking and has been a soccer fan and player (for the last 40 years).

Francesco Solano

Service Resolution Professional

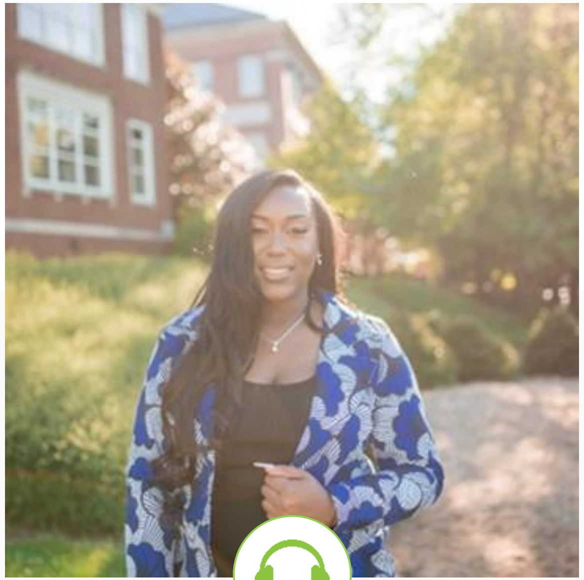
Francesca earned her BS in Hospitality, Resort, and Tourism Management at Coastal Carolina University. Following her love for customer service, she joined LPL in November 2020. Prior to LPL, she was in the Housekeeping and Restaurant industries. Francesca is a sorority sister of Sigma Kappa Sorority and a brother of Delta Sigma Pi Professional Business Fraternity. In her free time, she volunteers with Community Heart and loves to travel with friends and family.

Service360 Team 40

Chengappa Ballyamanda

Service Professional

Chengappa, raised in Windsor, CT, is a Civil Engineer from Wentworth Institute of Technology. Over the decade, he has gained experience in various industries; construction, real estate ventures, and providing financial management. He started with LPL in September 2021 with the Move Money specialized team, leading to the support role in the Service 360. Outside of work, he and his wife enjoy traveling, outdoor activities and are adventurers.



Jazmine Phillips

Service Professional

Jazmine is originally from New York and raised in Christ Church, Barbados. Her family moved to the Charlotte area in 2008, and has been in NC ever since. She attended the University of North Carolina at Greensboro and received her bachelor's degree and certification in Human Resource Management. While in school, she worked at a child care development center and refugee community center. Jazmine has been with LPL since 2021 and is very excited to keep challenging herself with new skills.

Angela Watson

Service Professional

Angela, originally from Philadelphia, PA., has lived in the Charlotte area since 2005. She's a graduate of Philadelphia University with BS in Apparel Management. Angela has over a decade of experience in various industries within the customer service experience space as well as retail, training & development and financial industries. She joined LPL in 2021 with the New Account specialized team before joining Service 360. She enjoys cooking for family and friends, the arts and traveling.

Service360 Team 40

Quindara Manson

Service Professional

A Philadelphia native, Quin moved to Charlotte in 2020 and has been working in the in various management roles as well as in social work, specializing in those with intellectual disabilities since 2008. At home, Quin spends time raising her three children (two boys and one girl). She looks forward to expanding her horizons through travel as well as exploring new cuisine.

Brandye Douglas

Service Professional

Brandye was born in Rock Hill, SC. She has been in customer service for 10 years ranging from retail to aviation; traveling to many places back when she was a flight attendant. Brandye started with LPL in September 2021 with the Move Money Specialized Team. Outside of work she likes to shop, spend time with her family and travel.

Meredith Johnson

Service Professional

Meredith is from Charlotte, NC and graduated from UNC-Charlotte in 2020. He graduated with a bachelor's degree in Health Management and a minor in Public Health. Working in retail and healthcare allowed Meredith to develop a passion for helping people which led him to LPL. He also enjoys reading, exercising, and sports.