

### WHAT IS THE LPL 50-STATE NETWORK?

A dependable network of “go to” advisors and employees in all 50 states.

The LPL 50-State Network will leverage the grassroots strength of our financial advisors and employees in all 50 states to:

1. Develop and maintain relationships with federal legislators and state-level policy makers to ensure we receive information on potential changes to legislation and regulations that affect our business;
2. Serve as a resource to policymakers by providing first-hand local knowledge about issues impacting the financial services industry;
3. Benefit the financial services industry as a whole by serving as a “force multiplier” – providing accurate first-hand knowledge and proactively collaborating with policymakers to support the development of thoughtful law and regulation; and
4. Facilitate the active engagement of our financial advisors and employees and enable them to make a difference.

### WHAT IS THE ROLE OF A NETWORK AMBASSADOR?

Network “ambassadors,” and their engagement will include:

- ✓ Building relationships with federal and state legislators and regulators on behalf of LPL - working in coordination with the LPL Government Relations team.
- ✓ Serving as ‘boots on the ground’ in their respective home states to help track issues and communicate positions that matter most.
- ✓ Collaborating with the LPL Government Relations team to activate grassroots advocacy efforts when necessary.

### HOW WILL LPL GOVERNMENT RELATIONS SUPPORT THE NETWORK?

- ✓ Train ambassadors on how to build relationships with policymakers
- ✓ Provide access to website for resources materials
- ✓ We will build in state highlights in our GR and LPL PAC newsletters
- ✓ Host update calls:
  - Introduction call with new members to discuss the role and responsibility
  - Twice a year update call for all ambassadors

### HOW DO WE DEFINE SUCCESS?

Our LPL Government Relations team works hard to proactively advance LPL’s public policy interests in Washington, DC and in the 50 states. We strive to mitigate risk by anticipating regulatory and legislative disruption and influencing positive change for the benefit of the firm, our financial advisors, and American investors. We achieve our success by:

- Proactively identifying the critical public policy changes that may impact our business;
- Investing in the development of key relationships at the federal and state levels;
- Effectively leveraging these relationships on the issues that matter to our business; and
- Clearly measuring and communicating our achievements.

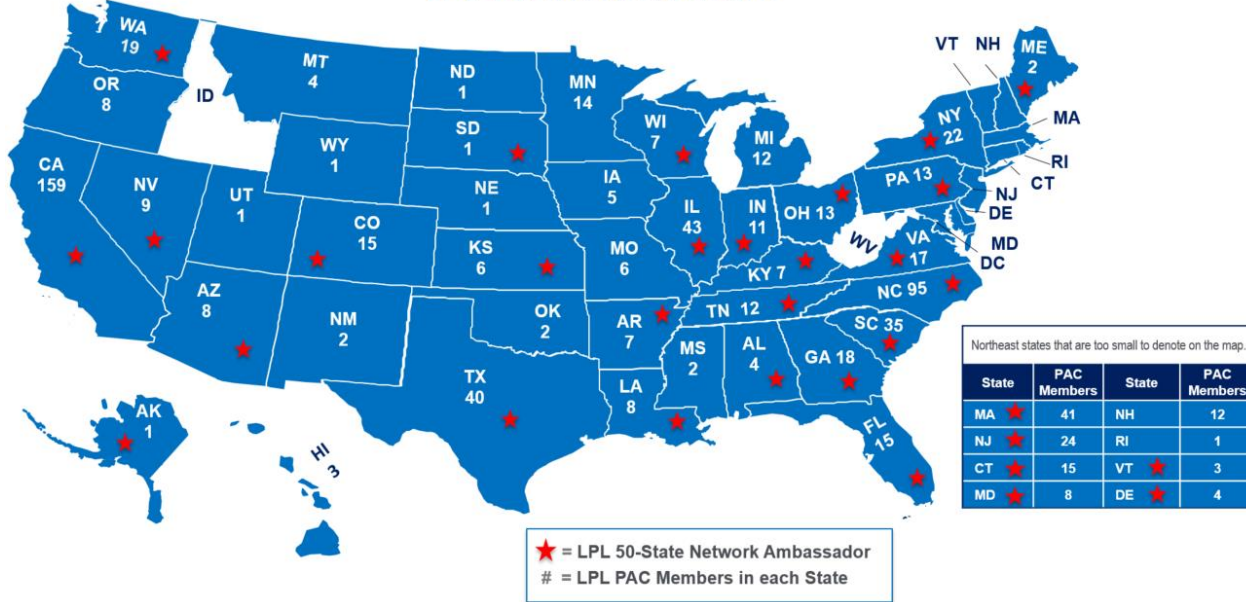
**IMPORTANT:** Before engaging on behalf of LPL Financial with your Legislators or Regulators contact a member of the [LPL Government Relations](#) team.

## LPL 50-State Network

Advocating together to make a difference

THE LPL 50-STATE NETWORK COVERS 31 STATES AND IS GROWING

### LPL 50-State Network



#### RESOURCES AVAILABLE:

**ON WEBSITE:** (Use Chrome or Firefox for an optimal experience.)

##### Issues:

- ✓ [Federal Issues](#) we are following along with position statements.
- ✓ State issues both in a map and list form that are important to our advisors. (Use Chrome or Firefox for an optimal experience.)

##### Resources:

- ✓ Overview of LPL 50 State Network
- ✓ Map of legislative sessions by state (Use Chrome or Firefox for an optimal experience.)
- ✓ Find your Legislators by
  - [Federal Representative](#)
  - [Federal Senator](#)
  - [State Legislators](#)
- ✓ Overview of LPL Financial to be used when providing background on LPL as a whole.
- ✓ Additional Resource Request Form

##### Join the Network:

- ✓ [Link to join the Network](#)
- ✓ Why get involved – [Grassroots Advocacy Podcast](#)

#### FROM OUR GOVERNMENT RELATIONS TEAM: (Upon Request)

- How to contact your Member of Congress
  - By Phone
  - By Email
- Preparation for in person meetings
- List of issues specific to your state
- Support from beginning to end of an engagement with policy maker

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