ONCEHUB USER GUIDELINES

Compliance Configurations for LPL Subscribers

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Overview of OnceHub

LPL is pleased to partner with OnceHub to allow our advisors to use OnceHub (formerly ScheduleOnce) for online appointment booking through the Vendor Affinity program. Although the Vendor Affinity program allows the flexibility to purchase the license directly with OnceHub, the usage of this product is always subject to the following guidelines, which follow existing compliance policies.

Terms of Use

LPL Financial permits use of OnceHub's Scheduled Meetings solution, subject to the [LPL Advisor Terms of Use for Electronic Products and Services](). Policy Guidelines (below) detail how OnceHub must be configured properly before use, based on features available as of this publication date. Features added after this publication date must be reviewed and approved prior to use. Failure to adhere to the Terms of Use and Policy Guidelines could result in termination of your OnceHub license and you will not be reimbursed by LPL for your expenses.

Policy Guidelines

LPL's Advisor Compliance Manual and Branch Office Security Policies define electronic communications and specify the applicable requirements for electronic communications. OnceHub's Scheduled Meetings product generates electronic communications as defined in those documents. The Policy Guidelines specified in this document provide information on how to configure and use OnceHub to fulfill electronic communication requirements.

Electronic Communications Supervision

As the account owner, you will automatically be setup as an administrative user in OnceHub and control various settings and configurations that individual user (members) will not be able to access or change. Below are the specific instructions to setup your account to meet the compliance requirements specified in the Policy Guidelines.

Email Notifications and Replies

Email notifications generated by OnceHub must use an authenticated email relay via SMTP (Simple Mail Transfer Protocol) method. With this method, all email notifications are sent from an LPL-approved email address that journals to, and is supervised by, LPL. All reply emails must also be sent back to an LPL-approved email address that journals to, and is supervised by, LPL.

1. Update the "Email from your domain" setting which controls the email address from which all email notifications are sent to end-clients. Sending email address must be from your lpl.com domain or an existing approved DBA domain email address. (Note: This setting applies to all users sharing the same account).

2. Use the information below to determine which email address to use for your "Email from your domain" setting.

   a) For accounts with a single advisor, the advisor's email address should be used
   b) For multiple advisor accounts, the email address must be associated with the primary advisor on the account, whether that's an existing approved email address or a new email address created for this purpose.

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LPL-Hosted Email Servers

If LPL hosts your email server, a new email address that is unique to your office can be requested by contacting LPL's Client Technology Management (CTM) team. You will need to reference the following information for the "Email from your domain" SMTP configuration:
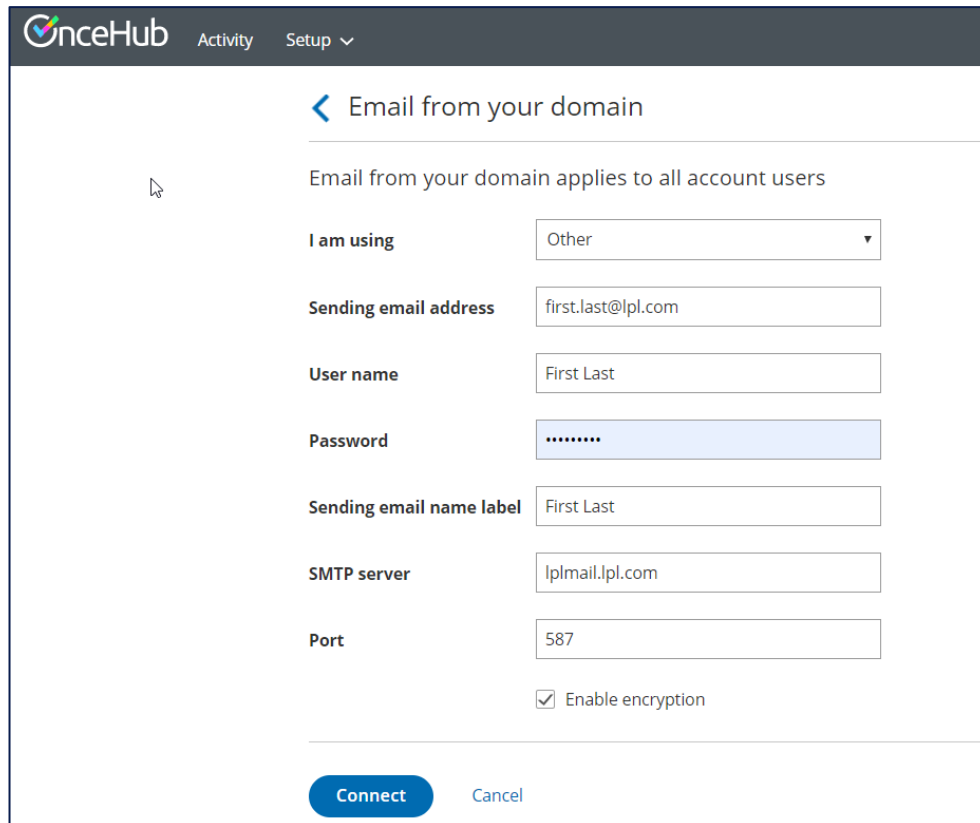
- Sending email address
- User name associated with that email address (e.g. first.last@web.lpl.com)
- Password associated with that email address
- SMTP server: lplmail.lpl.com
- Port: 587

You may contact ctm.mailbox@lplfinancial.com with questions about your LPL-hosted email credentials.

Self-Hosted Email Servers

If your firm hosts their own email server, a new email address would be created and approved like any new email address. You must ensure that it is set to journal to LPL and submit the address under the correct user via the Journal Attestation Tool.

Contact your Email Server Administrator with questions about your email credentials needed for this setting.

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All reply emails must be sent back to the individual user's LPL-approved email address. This is designed by the "Customer replies sent to" setting, separate from the "Email from your domain" setting. By default, this will be set to the email address used to sign into OnceHub.

These settings must remain in effect at all times to ensure compliance with certain regulatory requirements to capture, archive, and supervise the activity. Meeting these requirements is imperative and helps to protect LPL, LPL employees, and our advisors from sanctions, lawsuits, monetary penalties, etc.

SMS (Text) Notifications

SMS (Text) notifications are not permitted as they are not currently being captured for compliance supervision.

From the Booking Forms Editor, disable SMS notifications by unchecking the box.

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Additional Supervisory Considerations

- All electronic communications conducted via OnceHub are subject to review by the OSJ Branch Manager and/or a designated home-office principal via the OSJ Review Tool (ORT).
- Electronic communications are subject to the same content standards as written communications.
- No level of privacy exists for any electronic communications generated by or received through LPL approved tools because such communications are subject to supervisory review, retention by LPL, and production to regulatory agencies and for other legal purposes. LPL business-related communications sent or received on unapproved or personal tools are 1) prohibited, 2) communications to which LPL and regulators are entitled, and 3) still not sent or received with an expectation of privacy.
- All communications are subject to supervisory review, retention by LPL, and production to regulatory agencies.
- Hybrid advisors should consult with their OSJ to ensure they can properly comply with SEC regulations prior to using OnceHub for their advisory related business.

Marketing and Regulatory Review

Marketing and Regulatory Review (MRR) and approval is required for specific features published using OnceHub prior to first use and when any relevant changes are made. Specific features include:

- Booking page(s)
- Booking form(s)
- Custom email notification templates(s)

To initiate an MRR review of your Coconut features, submit a single tracking # through ComplianceMAX or the Advertising Review Tool which includes a screenshot of each impacted feature. You can find additional guidance in the Advisor Compliance Manual on the Resource Center or by contacting MRR.

Remember, all communications with the public must:

- Be based on principles of fair dealing and good faith
- Be fair and balanced
- Give the investor a sound basis for evaluating the facts
- Not omit material information, including risk disclosures
- Not make exaggerated, unwarranted or misleading statements, opinions, or claims
- Not contain untrue or false statements
- Not contain predictions or projections of actual investment results
- My not imply that past performance will recur

Booking Pages

Please use pre-approved names, logos, designations, titles, and contact information. All social media profiles must be approved and monitored through Social Patrol. If disclosure is required, as determined by MRR, you would use the standard disclosure specific to you as listed on your business card or email signature.

Booking Forms

- Collection of PII when scheduling an appointment is prohibited. Names and contact information (e.g., phone, email) are allowed. Please consult the Branch Office Security Policy for additional guidance on PII.
- SMS Notifications must be disabled, preventing meeting requestors from opting in
- OnceHub provides the capability for meeting requestors to add attachments to meeting requests. Any use of attachments is prohibited.

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Custom Email Notification Templates

Default email notification templates are pre-approved for use and do not require additional MRR approval. Any customization to these public facing email templates will require approval by submitting a screenshot of the template(s) to ComplianceMax or the Advertising Review Tool (ART).

3rd Party Apps and Integrations

Advisors are permitted to integrate OnceHub with:

- Calendar
- Video conferencing services (Zoom, Google Meet, Microsoft Teams, GoToMeeting, Webex)
- Compatible CRMs (Salesforce)
- Automation applications (Zapier)

Do not integrate OnceHub with solutions that are not approved by LPL. Custom webhooks are not permitted.

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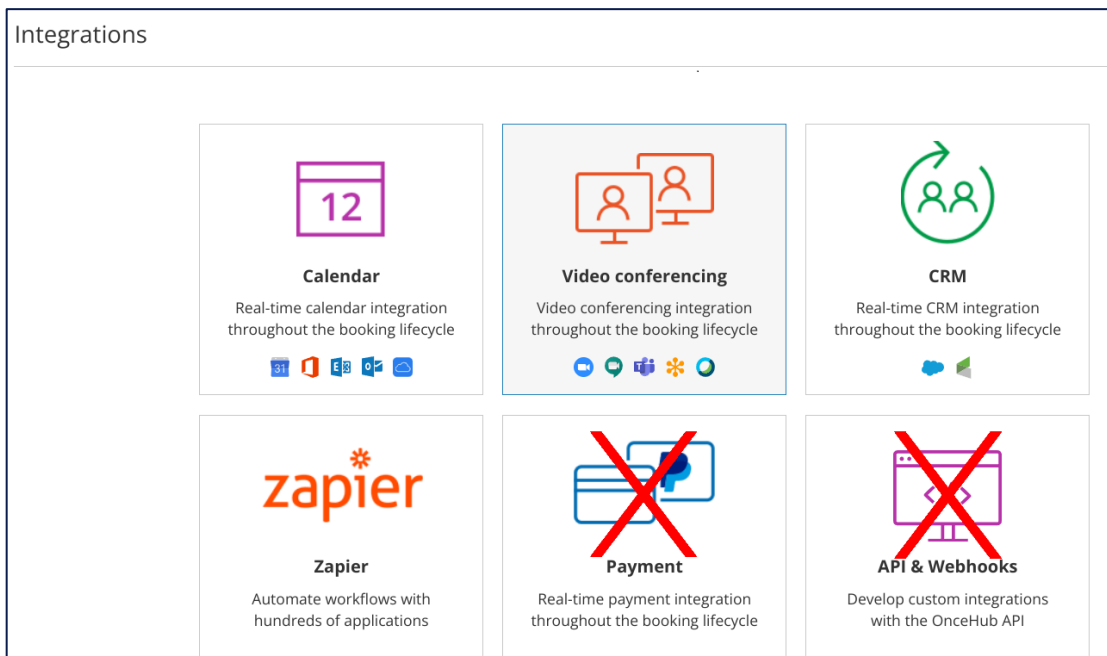
Connect to Exchange/Outlook or Office 365 Calendar

Connecting your calendar allows OnceHub to sync your availability in real time.

To connect your LPL Exchange/Outlook calendar enter the following information:

- Your Outlook email, username, and password
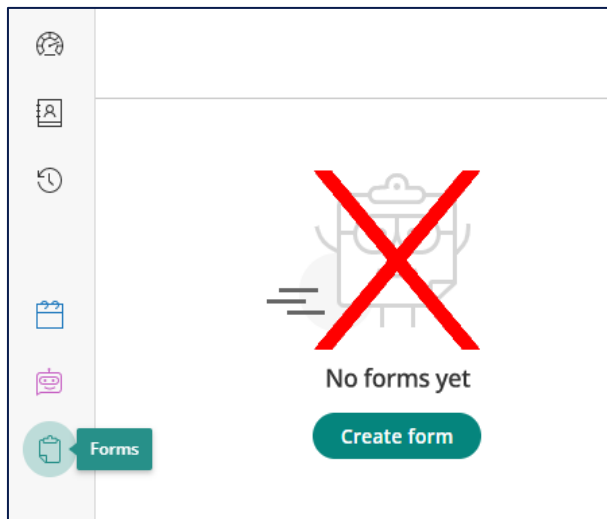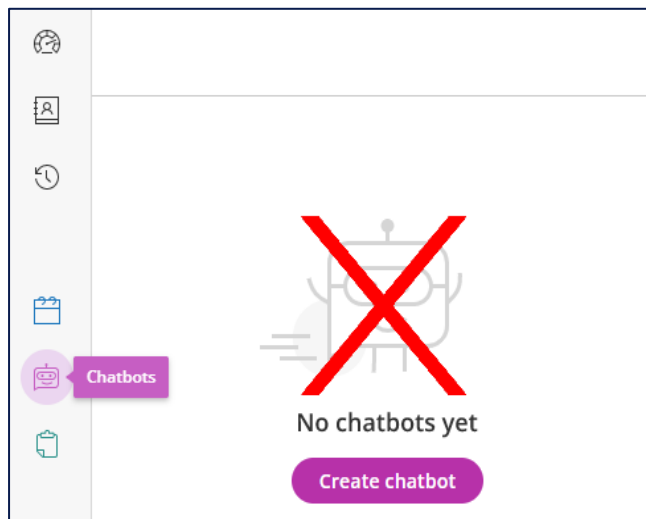- EWS URL: https://lplmail.lpl.com/ews/exchange.asmx

To connect your LPL Office 365 Calendar, you will be prompted to sign in via OAuth.

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Prohibited Features

Chatbots and Forms features are not permitted for use.

Because these features are not supported, a Live Engagement license would not be applicable and should not be subscribed to.

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Support

Please reference the following table for questions and support.

Topic	Support
OnceHub Account and Booking Page Setup	Help Center Resources Schedule a set up session with a OnceHub Customer Success Manager for an additional fee of $40/user
Email Address Credentials (LPL-Hosted)	Please send an email to ctm.mailbox@lplfinancial.com
Email Address Credentials (Self-Hosted)	Contact your Email Server Administrator
LPL's Email and Journal Attestation Request Form	LPL Resource Center- Email Address and Journal Attestation Request Form

Compliance Checklist for LPL OnceHub Subscribers

#	Category	Requirement
1	Electronic Communications	☐ Email notifications sent via SMTP using an LPL-approved email address that journals to LPL ☐ Email replies sent to an LPL-approved email address ☐ SMS (text) notifications disabled
2	Marketing and Regulatory Review	☐ Disable attachments on booking forms ☐ Refrain from using Chatbots and Forms ☐ Video and audio recording disabled or not used ☐ Audio transcription disabled or not used
3	3rd Party Apps and Integrations	☐ Payment integration not used ☐ API and Webhooks integration not used
4	Prohibited Features	☐ Chatbots not used ☐ Forms not used ☐ Unsubscribed from Live Engagement license

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