

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.

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:

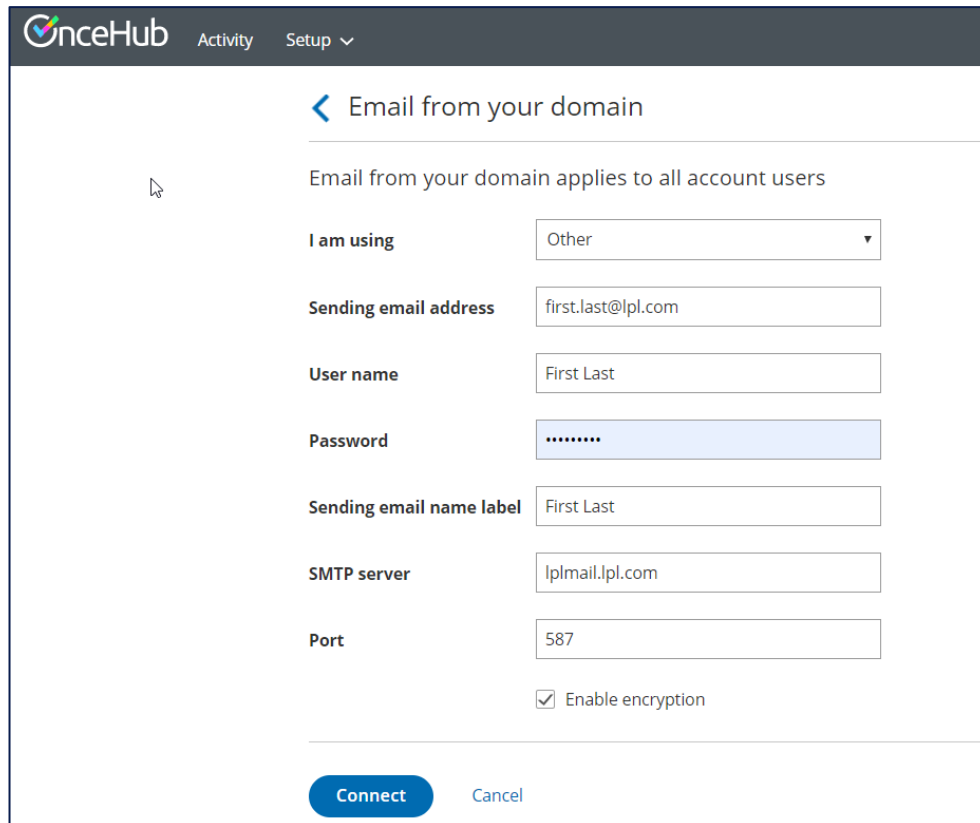
- Sending email address
- User name associated with that email address (e.g. first.last@web.lpl.com)
- Password associated with that email address
- SMTP server: lplmail.lpl.com
- Port: 587

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.




The screenshot shows the 'Email from your domain' configuration page in the OnceHub interface. The page has a dark header with the 'OnceHub' logo and navigation links for 'Activity' and 'Setup'. The main content area is titled 'Email from your domain' with a back arrow. Below the title, a note states 'Email from your domain applies to all account users'. The configuration fields are as follows:

Field	Value
I am using	Other
Sending email address	first.last@lpl.com
User name	First Last
Password	*****
Sending email name label	First Last
SMTP server	lplmail.lpl.com
Port	587

At the bottom, there is a checkbox labeled 'Enable encryption' which is checked. Below the form are two buttons: 'Connect' (in a blue pill shape) and 'Cancel'.

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.

Email notifications to User's Customers

Sent from email  <first.last@lpl.com> [\(Change for the entire account\)](#)

Sent from name

Customer replies sent to


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.

OnceHub
Formerly ScheduleOnce

Scheduled meetings 




Live engagements 

←

Booking forms editor

Booking forms

New Booking form



Default

Save

Default Booking form (Preview)

Your email*

Booking notifications will be sent to this email

Contact field: Email address

Required

▲▼

Your phone*

To send SMS notifications, you must also enable them in the Customer notifications section.

Contact field: Mobile phone

☒ Required

☐ Enable SMS

☒ Remove field

▲▼

What would you like to discuss?


Contact field: None

☐ Required

☒ Remove field

▲▼

Member FINRA/SIPC

 LPL Financial

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
- May 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.

The screenshot shows the LPL Financial booking page. Callouts highlight the following elements:

- approved DBA logo:** The LPL Financial logo at the top left.
- approved name, designation, title, DBA name:** The user's profile information on the left, including a photo and text: "Your Name", "Financial Advisor", and "Your DBA Name".
- standard disclosure:** A callout pointing to the disclosure text: "Securities and advisory services offered through LPL Financial (LPL), a registered investment advisor and broker-dealer (member FINRA/SIPC)."

The main content area is titled "Select a meeting type" and lists three options:

- 15-minute meeting** (Duration: 15 min)
- 30-minute meeting** (Duration: 30 min)
- 60-minute meeting** (Duration: 60 min)

Each option has a right arrow icon. A "Change selection" dropdown is in the top right. The footer includes contact information (phone, email, website, social media) and "Powered by ScheduleOnce".

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.

The screenshot shows the "Booking forms editor" interface. It includes a sidebar with "Booking forms" and a "New Booking form" button. The main area displays a "Default Booking form (Preview)" with the following fields:

- Subject provided by Customer (conditional field):** A note states "Will only appear if the Meeting subject is set to Subject provided by Customer. Learn more". The field is labeled "Subject" and contains the text "What is the meeting about?".
- Your name *:** A mandatory field labeled "System field" and "Mandatory field".
- Your email *:** A mandatory field labeled "System field" and "Mandatory field". A note below states "Booking notifications will be sent to this email".

The right sidebar is titled "Fields library" and contains a list of fields:

- System fields:** A section with a plus icon.
- Custom fields:** A section with a minus icon, containing three fields:
 - Name: Attachment (Attachment):** Title: Attachment. This field is marked with a large red X.
 - Name: Company (Single-line text field):** Title: Your company.
 - Name: Country (Dropdown):** Title: Country.

Each field in the library has a plus icon and a trash icon.

Custom Email Notification Templates

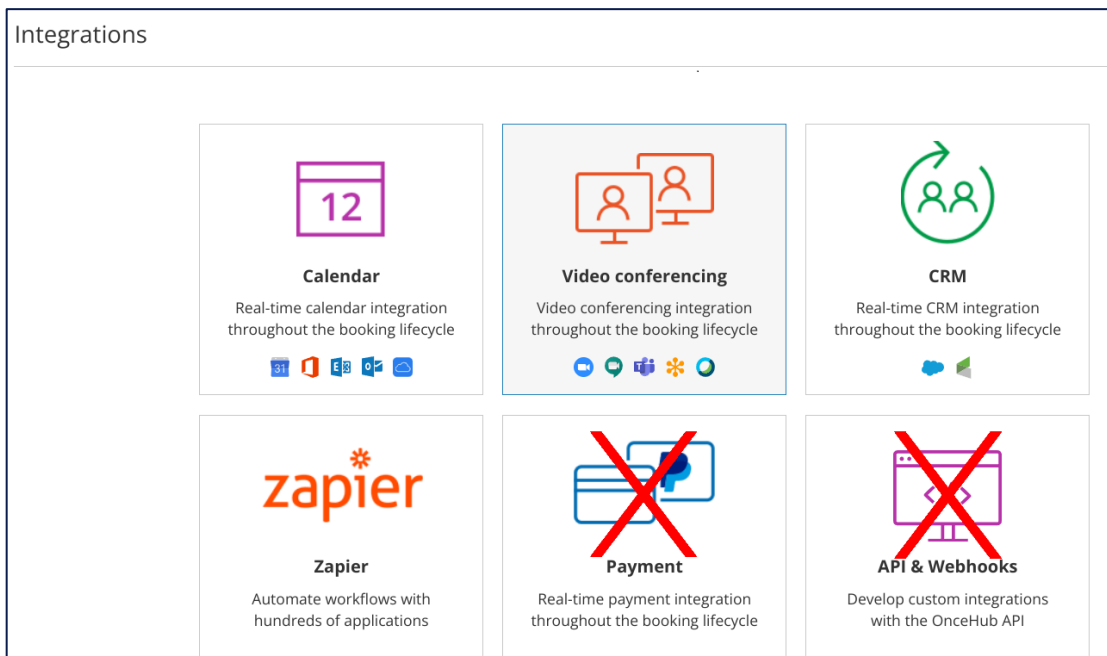
Default email notification templates are pre-approved for use and do not require additional MRR approval. Any customization to these public facing email templates will require approval by submitting a screenshot of the template(s) to ComplianceMax or the Advertising Review Tool (ART).

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.



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>

Connect to Exchange/Outlook Calendar

Enter your email and password or an [app password](#).

Outlook email

firstname.lastname@web.lpl.com

Outlook password

.....

Advanced settings

EWS URL

https://lplmail.lpl.com/ews/exchange.asmx

What's my EWS URL?

User name

firstname.lastname@web.lpl.com

Multi-user account? Users can be automatically connected

[Learn more about our Corporate Exchange connection](#)

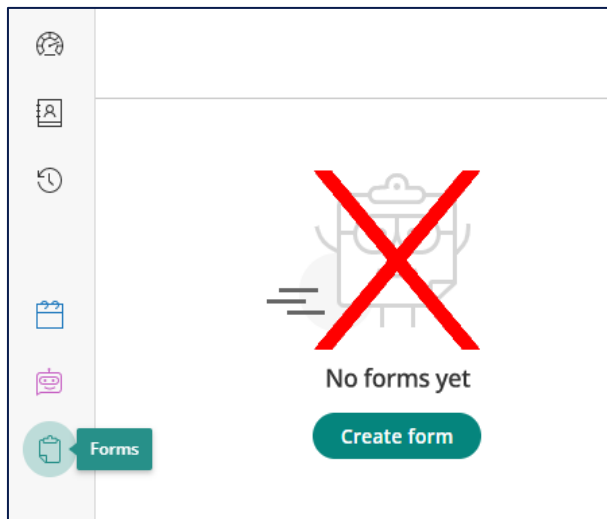
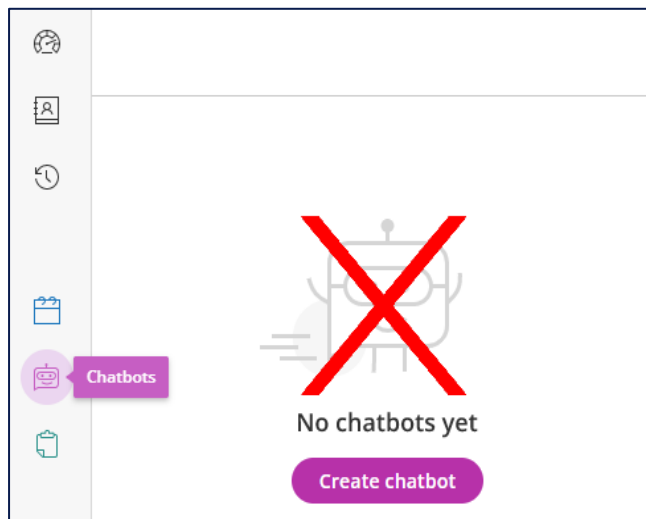
Cancel

Connect


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

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.

**Live engagement licenses**
✗ No license assigned
You are on a free Starter plan.
[Upgrade to Growth](#) | [Learn more](#)
[Assign license](#)

Accept instant calls and live chats via chatbots and forms.

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	<input type="checkbox"/> Email notifications sent via SMTP using an LPL-approved email address that journals to LPL <input type="checkbox"/> Email replies sent to an LPL-approved email address <input type="checkbox"/> SMS (text) notifications disabled
2	Marketing and Regulatory Review	<input type="checkbox"/> Disable attachments on booking forms <input type="checkbox"/> Refrain from using Chatbots and Forms <input type="checkbox"/> Video and audio recording disabled or not used <input type="checkbox"/> Audio transcription disabled or not used
3	3 rd Party Apps and Integrations	<input type="checkbox"/> Payment integration not used <input type="checkbox"/> API and Webhooks integration not used
4	Prohibited Features	<input type="checkbox"/> Chatbots not used <input type="checkbox"/> Forms not used <input type="checkbox"/> Unsubscribed from Live Engagement license