WELCOME

Your Valued OCIO Partner

Welcome to LPL Research OCIO Services. We appreciate the opportunity to partner with you in delivering top-tier Outsourced Chief Investment Officer (OCIO) Services. This document serves as an overview of our engagement process, ensuring a seamless experience from the start.

Our role in your success

Our OCIO Services strive to provide institutional-level services for the investment management process, bringing industry best practices to your firm.

The team seeks to act as an extension of your team, helping you to ensure that the investment decisions align with your client's goals and regulatory requirements while freeing you to focus your time on client relationships and business growth.

Our custom approach is designed to enhance efficiency, mitigate risk, and drive long-term success for you and your clients.

LPL Financial

Our Engagement Process

An overview of our services

1 Organize

Objective: Getting to know your practice.
Activities: Kick-off meeting. Collect current investment objectives, guidelines, and processes.

2 Formalize

Objective: Develop a tailored investment strategy.
Activities: Portfolio assessment. Provide customized investment process documents and investment committee charters.

3 Implement

Objective: Execute the agreed upon strategy.
Activities: Leverage institutional-quality research for optimal portfolio construction. Consult on asset allocation, investment vehicles, investment product selection, use of complex strategies, and the documentation of the investment management process.

4 Monitor

Objective: Ensure continuous alignment of your goals.
Activities: Continuous oversight with data-driven insights and proactive management. Conduct regular investment committee meetings with your firm to review market commentary and investment performance, and provide model portfolio trade considerations.

5 Support

Objective: Maintain transparent and proactive communication.
Activities: Client and stakeholder updates. Provide ongoing client and prospect support, annual onsite, and direct engagement with our team for ongoing guidance.

Keys to getting started

Next steps

Your engagement officially begins with LPL Research's OCIO Services team upon completion of onboarding. Upon receipt of your intake materials, we can schedule the Kickoff Meeting and begin work.

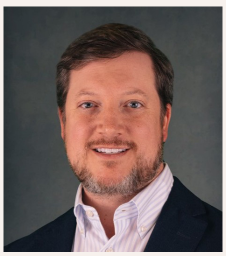
Your Team

Investment experts to support your growth

Your dedicated OCIO Services team is a part of the LPL Research team, which consists of 45+ professionals seeking to provide institutional-level investment guidance. Your team will get to know the needs of your clients and then utilize the broader LPL Research team to bring you the best solutions.

Contact information

Our team is here to support your success — please reach out with any questions or for additional guidance.

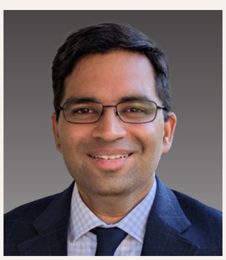


Andrew Beatty

Vice President
Research, OCIO Services

In his role at LPL Research, Andrew strives to create a collaborative environment with each advisor to:

- Be a liaison between the advisor and the broader LPL Research team.
- Identify opportunities for implementing best practices in the investment decision-making process, including the organization and maintenance of governing documents, investment manager search and selection, customized model portfolio construction, and market and performance commentary.
- Help advisors develeop deeper client relationships.

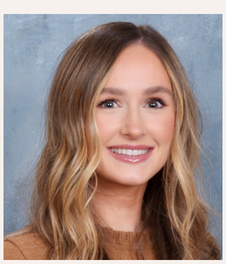


Sai Uppaluri

Senior Analyst
Research, OCIO Services

In his role at LPL Research, Sai strives to create a collaborative environment with each advisor to:

- Be a liaison between the advisor and the broader LPL Research team.
- Conduct thorough analysis on asset allocation, investment managers, and model portfolio construction.
- Help advisors develeop deeper client relationships.



Kaitlyn Staudt

Client Relationship Manager
Research, OCIO Services

In her role at LPL Research, Kaitlyn strives to create a collaborative environment with each advisor to:

- Ensure the best service experience possible.
- Resolve servicing issues.
- Be a liaison between the advisor and the broader LPL Research team.
- Help advisors develeop deeper client relationships.

Ready to get started?

Contact your LPL Relationship Manager or email CIOServices@lplfinancial.com.

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