# SOCIAL PATROL

## Getting Started Guide

LPL Financial uses the Proofpoint Social Patrol tool to help meet social media compliance, supervision, and archiving requirements.

This guide will walk you through the social media enrollment process and installing the Social Patrol tool on supported social media accounts, along with resources for support. For information on social media compliance policies, please refer to the Social Media User Guide and Advisor Compliance Manual.

## Contents



## Getting Started FAQs

### What do I need to complete the Social Media onboarding process?

- **ClientWorks Access:** If you need ClientWorks access, please call the Service Center (800) 877-7210, option 9, option 2 and speak the phrase 'ClientWorks'.
- The **Google Chrome** web browser: Social Patrol tool does not work with Microsoft Internet Explorer or Edge.
- **Login credentials** for the social media account(s).

### How can I check if I have already completed the Social Media onboarding process?

1. Check the Learning Center to see if you have completed the social media training course.
2. In ClientWorks, go to the Menu > Compliance > Social Media/Electronic Communications to see if you have a completed onboarding form.
3. If yes to 1 and 2 above, click this link to sign into the social patrol install page.

### Who needs to complete the social media onboarding process?

Social media account owners or the administrators of social media accounts and pages need to complete the process.

### Who can I call for support?

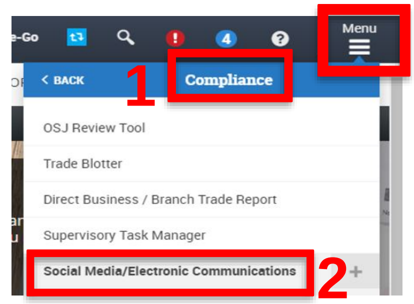
Please call the Service Center (800) 877-7210, option 9, option 2, then speak the corresponding phrase:

- For sign up, re-authorization, or other technical issues say “Technical Support”.
- For compliance policy questions please say “Compliance”.

# Social Media Onboarding Process

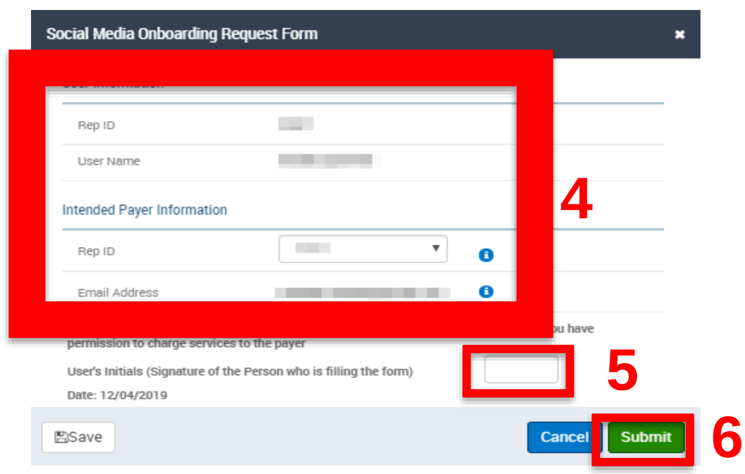
**Step 1 – Complete a Social Media Onboarding Form:**

1. From the main Menu in ClientWorks, select Compliance from the dropdown menu.




2. In the Compliance menu, select Social Media/Electronic Communications. A new screen opens.
3. Select New Social Media Onboarding Form.


4. A pop-up window will open with the advisor's name and rep ID (if applicable). Identify the intended payer for Social Patrol service (account owner or OSJ):
   i. If an alternative payer is indicated, that individual will receive an acknowledgement email.
   ii. If the enrollee is a registered assistant or non-licensed associate, there is no cost and no intended payer box.
5. If you're completing the form on behalf of the account owner, please enter your initials on the form as the person submitting the request.
6. Click Submit.



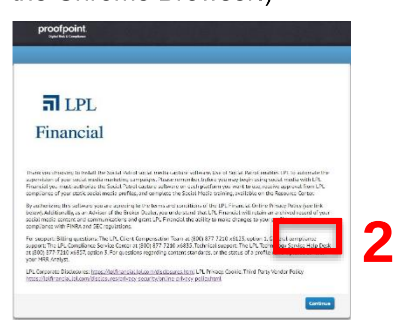

**Step 2 – Social Media Training:** You will receive an email directing you to complete Social Media Training. If you have already completed the training, please wait for the Install email (see Step 3.)

**Step 3 – Install and Authorize Social Patrol (on supported social media account)**

After you complete steps 1 and 2 above, the social patrol account is created and an email is sent from socialpatrol-noreply@lpl.com to you with the installation link.

https://suite.us2.nexgate.com/install_patrol/INSTALL-uDpSB9j31HFsFC6sAoNq

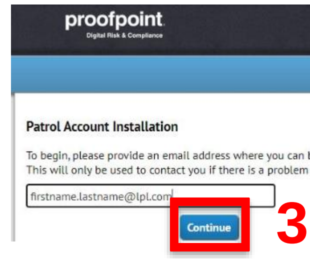
1. Use the link in your email to begin the authorization process. (Please use the Chrome Browser.)
2. Read the disclosure language on the Social Patrol landing page, then click Continue.



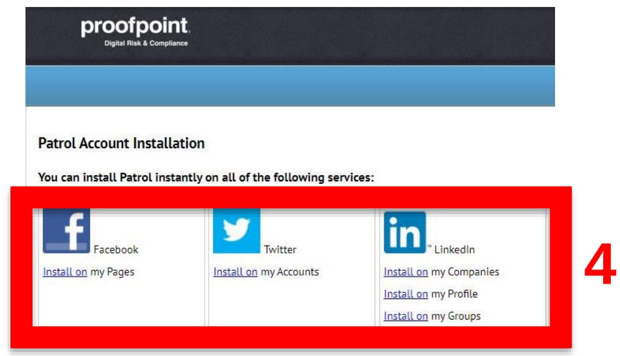



LPL Financial

3. On the Patrol Account Installation screen, enter your LPL.com email address, then click Continue.




4. Select the social media account you wish to install the Social Patrol application on. This procedure must be completed one account at a time.




5. When you select the “Install on” link for the chosen platform, you’re directed away from Social Patrol and asked to sign into that platform. Use the social media account credentials to log in. You will be asked to authorize the Social Patrol application; please provide all permissions that are requested.


Upon completion, you’ll see a message thanking you for installing Patrol on that account.

A link is available on the “thank you” screen to add Social Patrol to other social media accounts.

## Next steps

Your assigned MRR analyst will review the social media account profile content and will work with you to ensure it’s consistent with applicable standards. You may need to add required disclosures and turn off unsupported functions and features. If changes are needed, your analyst will contact you.

When your profile content is approved, you’ll receive a confirmation email from the sender Proofpoint Social Patrol, address: noreply@nexgate.com.

**Please note:** Unsupported content must be submitted for pre-approval using the standard procedure due to current technical limitations. For more information please see the Social Media User Guide and Platform specific guides on the Resource Center.

## Additional resources

Additional information about Social Patrol and LPL’s social media program guidelines can be found on the Resource Center. Thank you for your business!