CAPTRUST

2023 SOCIAL MEDIA GUIDE

INTERNAL USE ONLY

Foreword

At CAPTRUST, we have embraced social media as another medium with which we can communicate to clients and prospects, while demonstrating our industry leadership and company culture. We recognize that social media is here to stay, and we embrace the positive impact it can have on our firm. This document was designed to help you leverage social media.

In this guide, we will cover the following topics:

- how to set up a profile (including must-haves for the best profile out there);
- how to share content;
- how to connect with and follow others;
- how to adhere to compliance regulations; and
- resources to help you along the way.

We recommend that you spend time reviewing this guide and follow the steps carefully. And remember, we are here to help. Please reference this guide's glossary at the end or contact marketing if you have any questions.

Agenda

THE SIGNIFICANCE OF SOCIAL MEDIA

AND WHY IT'S RELEVANT TO YOU

Why Social Media?

Social media platforms like LinkedIn and Twitter allow you to interact with the world around you, while achieving personal and business goals. Some platforms are helpful for prospecting and connecting with clients. Some simply build your overall brand.

When people search your name on the internet, you want them to be able to find your personal brand (as well as our corporate brand) and to understand what CAPTRUST is all about. Our LinkedIn profile displays our industry expertise. Our Twitter profile gives a glimpse of a day in the life at CAPTRUST. Together, both profiles create an overall positive brand impression.

For our purposes, LinkedIn and Twitter allow you to do the following:

- connect with clients, prospects, industry influencers, fellow advisors, and COIs;
- show the breadth and depth of your expertise;
- distribute CAPTRUST-generated content;
- promote our company culture;
- encourage fellow FAs in their endeavors;
- keep up with what is going on with your clients; and
- keep up with current news related to the industry, the economy, politics, sports, etc.

INSTRUCTION AND BEST PRACTICES

LinkedIn

CAPTRUST

LinkedIn

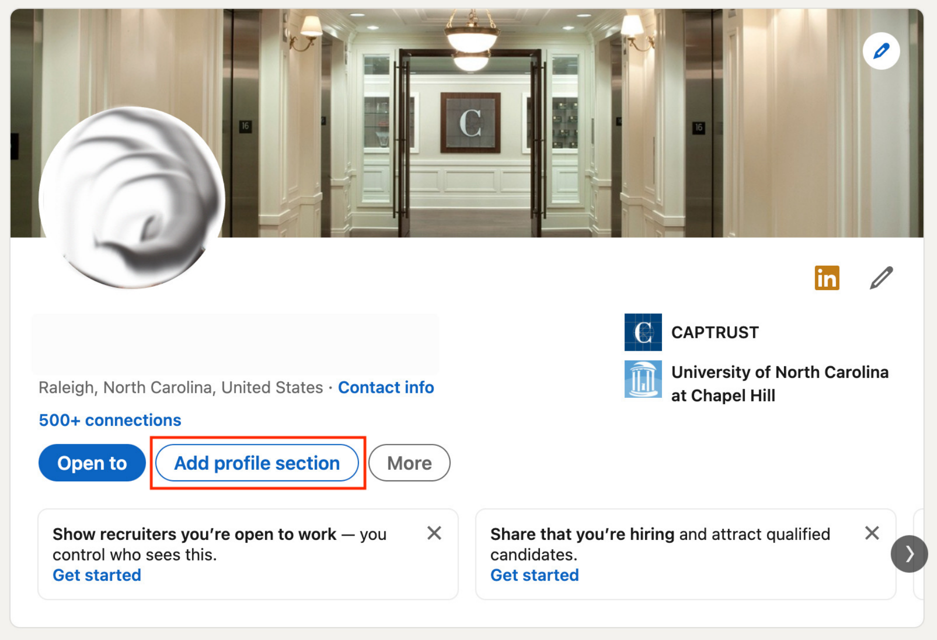
Setting Up a Profile

The following guidelines are crucial for a complete, robust, compliant, and branded profile.

1. **Add a Photo:** Use your corporate headshot, found in the Headshots tile of the marketing department's intranet page.
2. **Add a Professional Headline:** Use your title in the following model.
   - "Senior Vice President | Financial Advisor at CAPTRUST"
3. **Add a Location and Industry:** List your office location and "Financial Services" as your industry.
4. **Summary:** Start with your corporate bio, which is on captrust.com. This is not a place for your resume, but, rather, an introduction and value proposition. So, enhance the summary by adding personal information (hobbies, interests, etc.). Also, consider using first person for your LinkedIn version of your bio.
5. **Experience:** Add your current position at CAPTRUST. Make sure to enter "CAPTRUST Financial Advisors" as the company name. Our logo will automatically populate.
   - Feel free to add past jobs. Don't feel like you must add detail; the employer and year will suffice.
6. **Skills and Expertise:** Add as many skills as you want (skills will populate upon typing). They are important for search optimization. BUT, endorsements of these skills must be hidden (more on this later). Do not add any FINRA licenses.
7. **Education:** Add all education, including graduate degrees.
8. **Additional Information:** This can include volunteer experience; organizations of which you're a part; honors and awards (CAPTRUST-related, industry-specific, philanthropic, etc.); and certifications (e.g., CFA® and AIF®; **NOT** FINRA licenses). Add your certifications after your name at the beginning of the profile (like how we show your name on our website).
9. **Contact Information:** Add a way for people to contact you, such as your CAPTRUST email address.
10. **Website:** Add the CAPTRUST website.
11. **Add Header Image (OPTIONAL):** Let us know if you would like to add a header image, and we can send you corporate options to peruse.
12. **Follow CAPTRUST:** Following our company's page will help keep you in the know about when we post.

LinkedIn

Additional Profile Sections

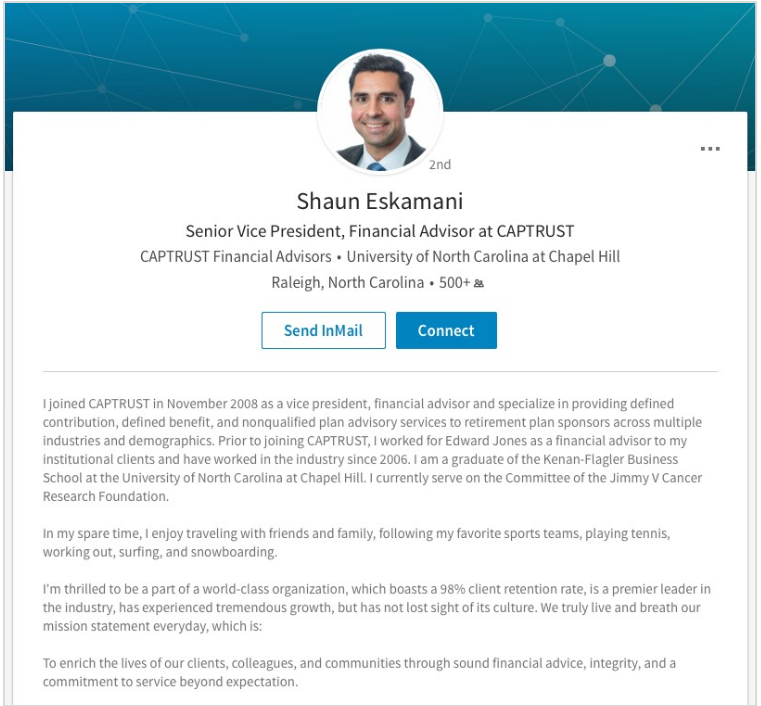


Other sections you can include in your profile are volunteer experience, publications, licenses and certifications, honors and awards, and more.

Populate as many of these sections as possible, to give a holistic representation of who you are.

LinkedIn

Profile Example – Advisor, Shaun Eskamani (Raleigh)

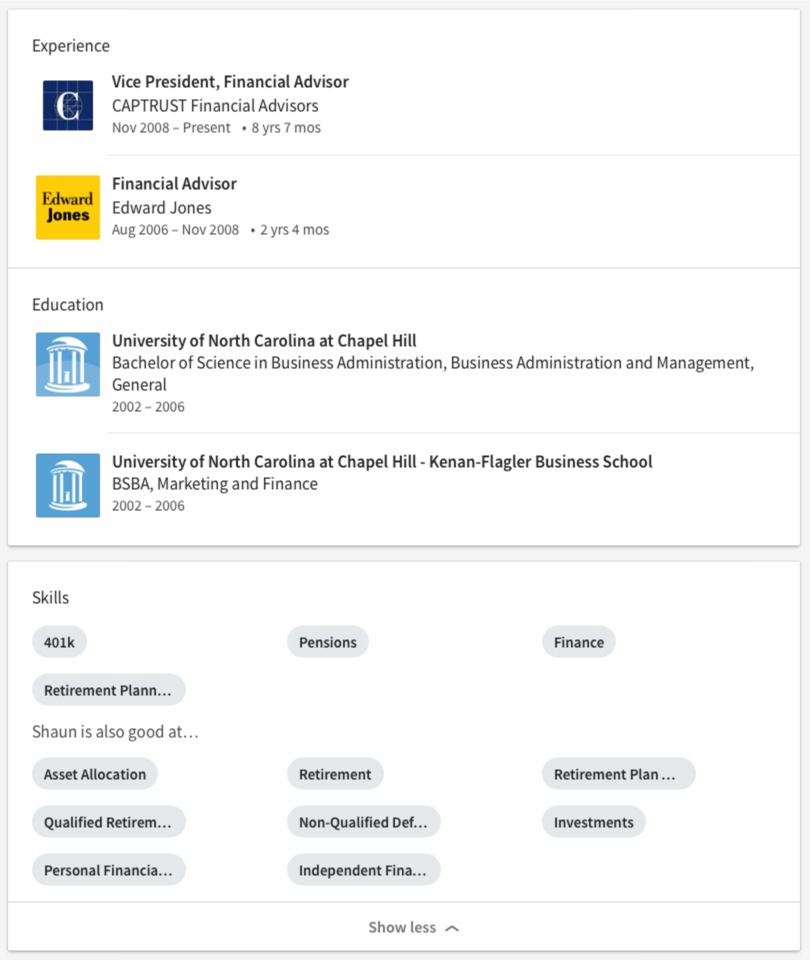


The following slides highlight the strength in Shaun’s profile.

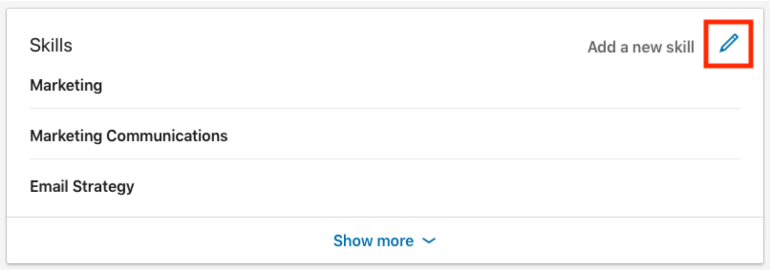
- Shaun lists his title and location—crucial aspects when people are searching.
- He included his biography in the summary, which he changed to first person (a nice personal touch).
- He added a few personal details to his summary, while keeping it professional.
- He included the CAPTRUST mission statement.

LinkedIn

Profile Example, cont.

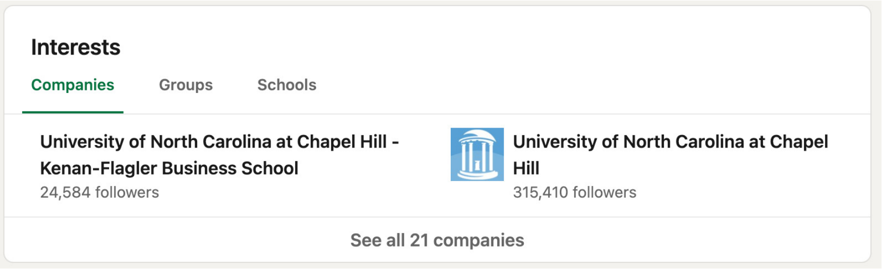


- Shaun listed his current position with CAPTRUST, as well as previous employers.
- He added his education including the university, the degree, and years attended.
- He included his skills **without** endorsements. Skills are great because they enhance your searchability. Do not list FINRA licenses.
  - To hide endorsements, add your skills and click on the pencil icon. Select "adjust endorsement settings" in the bottom left of the dialogue box and make sure that "I want to be endorsed" is set to "no".



LinkedIn

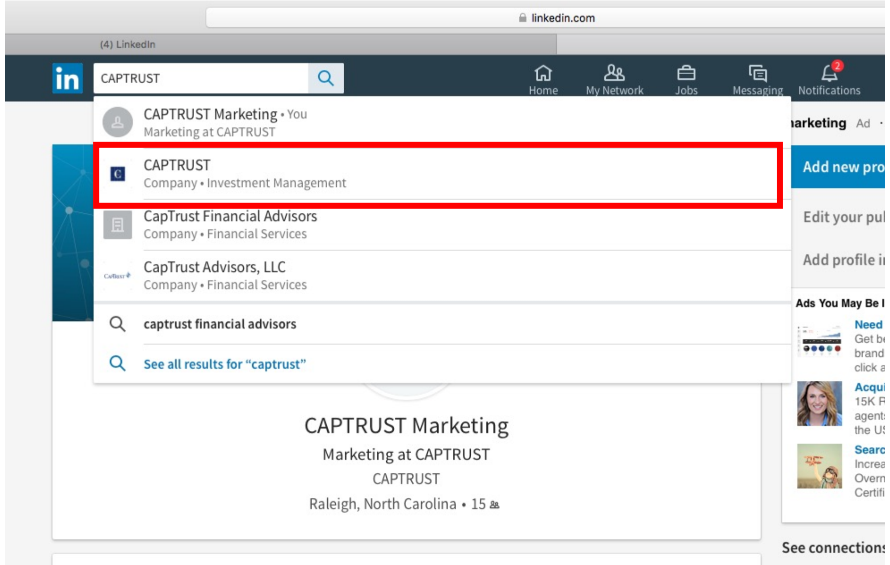
Profile Example, cont.



- Shaun is connected to other CAPTRUST employees, especially fellow advisors and senior management. These connections help searchability while extending your network.
- Shaun's profile shows a few of the companies, groups, and schools that he follows (categorized as "interests").
    - **Pro Tip:** Follow prospect and client companies, so that you will be alerted in your feed when they post news (such as a leadership change or winning an award). This may give you a reason to reach out to your contact(s) at that company. You may also wish to follow organizations/publications related to your industry and target market.

LinkedIn

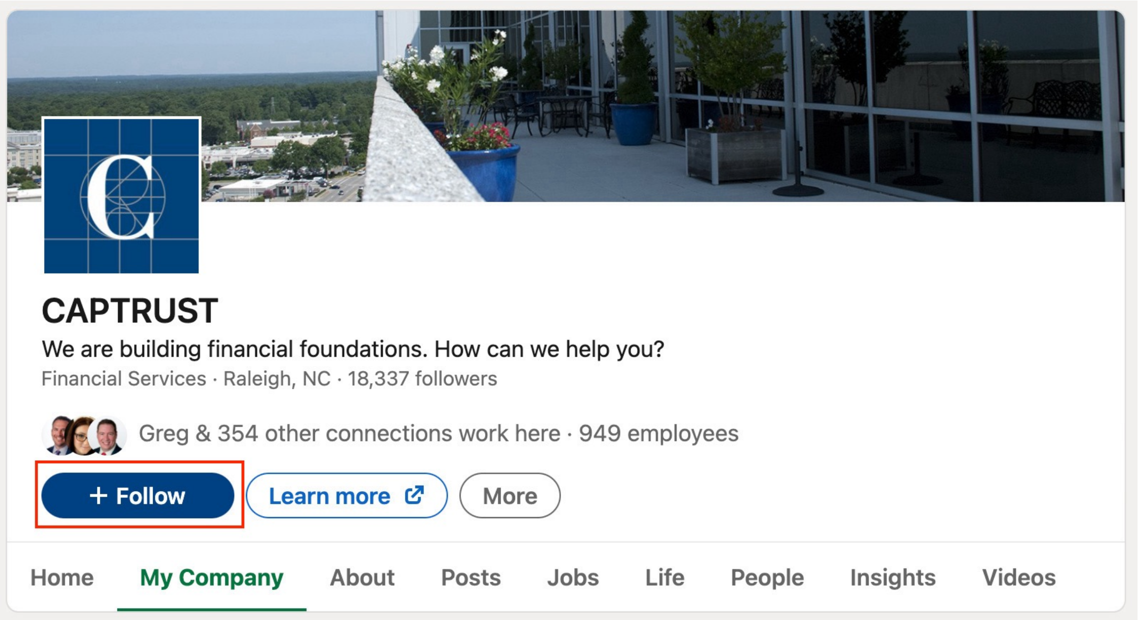
Searching for CAPTRUST



- Type "CAPTRUST" into the search bar.
- Select the entry for CAPTRUST that features our logo.

LinkedIn

Following CAPTRUST



- Click the “Follow” button in the top section of the company page.
- This action is true for any company page you may want to follow—like those of your clients!

LinkedIn

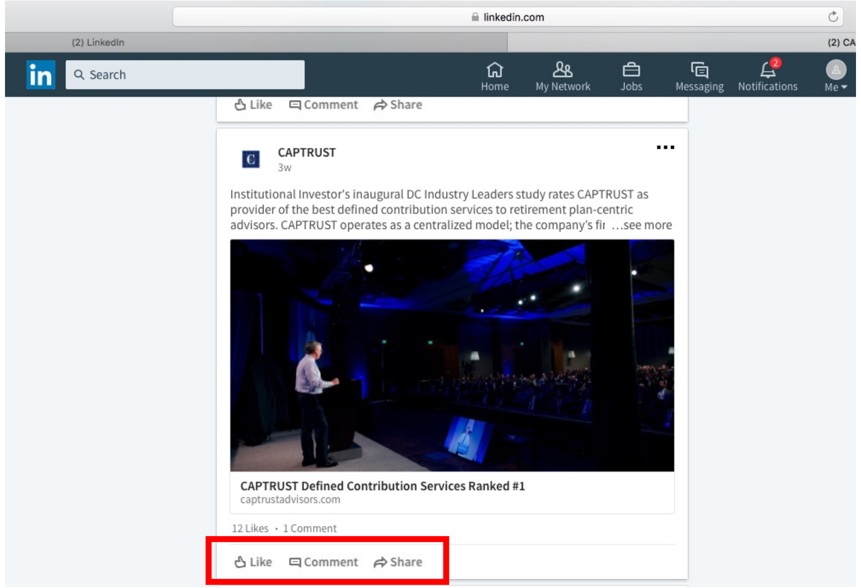
Content

Whether you are sharing or writing content—or merely commenting on a post—make sure that your content/commentary:

- Is **not** solicitous
- Is **not** promissory
- Is **not** aggressive or defamatory about a person or company
- Does **not** reference litigation of any kind
  - The one exception here is posting CAPTRUST's Fiduciary Update, which is okay.

LinkedIn

Interacting on LinkedIn



Like

Liking a post will cause it to show up on your connections' feeds.

Comment

Commenting allows you to give your two-cents, and causes the post to show up on your connections' feeds.

Share

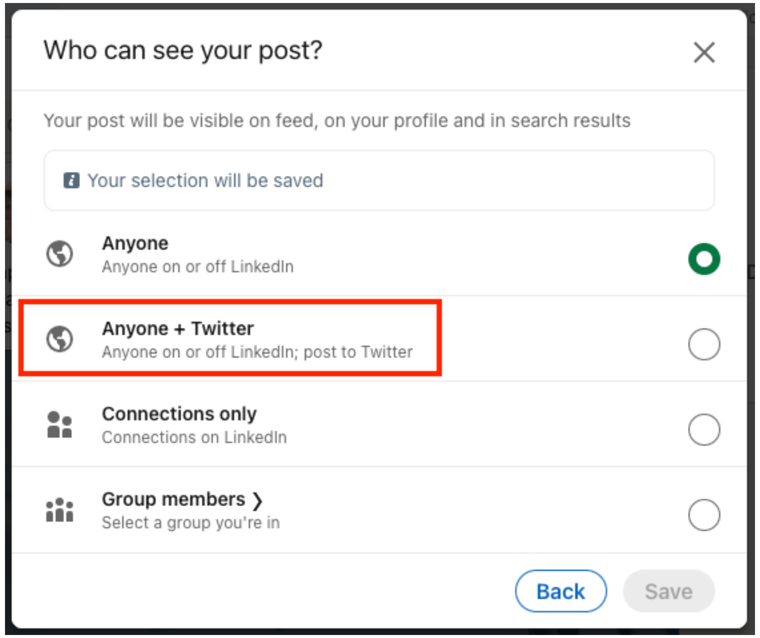
Sharing a post is the best way to distribute content and show your expertise with your network.

Content we frequently share on LinkedIn includes Plan Sponsor E.Brief, Market Thoughts, Investment Strategy, Fiduciary Update, *VESTED* articles, RFP resources, industry awards, press releases, events, and webinars.

We have found a positive correlation between a consistent frequency of posts and number of followers, so start posting today!

LinkedIn

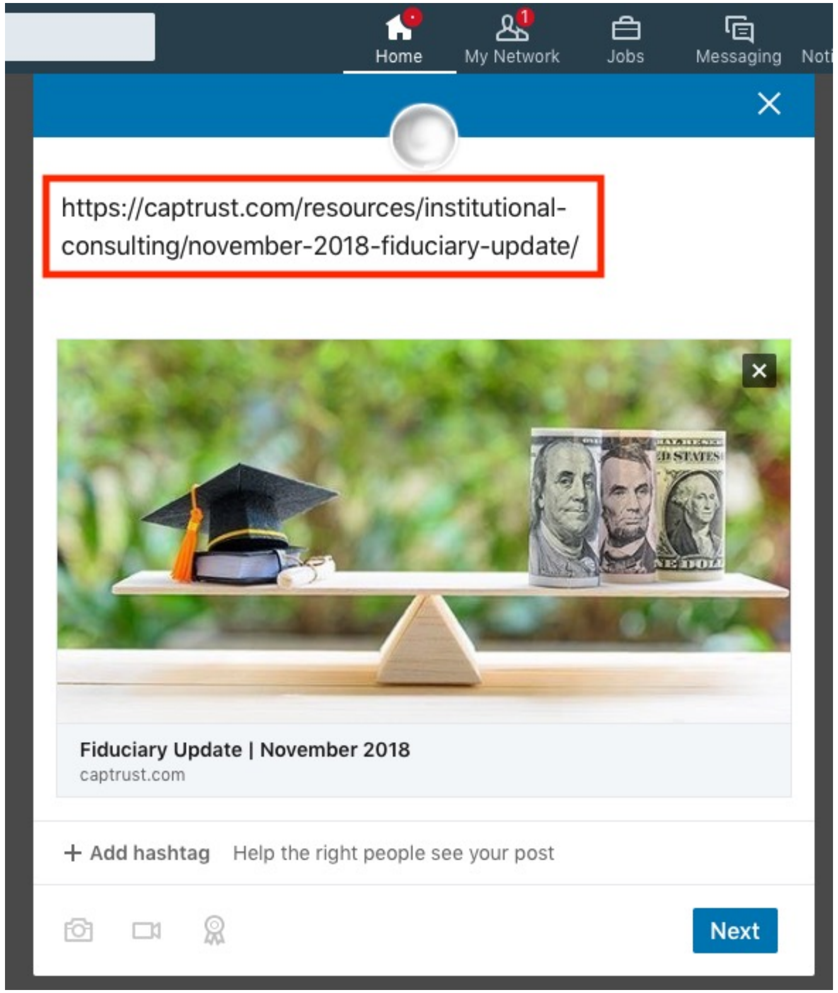
Sharing Content



- When you click “Share”, a dialogue box appears.
- You can choose to add a blurb if you’d like. Just remember the rules from the previous slide.
- Click “Post” and it’s shared!
- **Pro Tip:** Click the dropdown next to your name and select “Anyone + Twitter” to share on both platforms.

LinkedIn

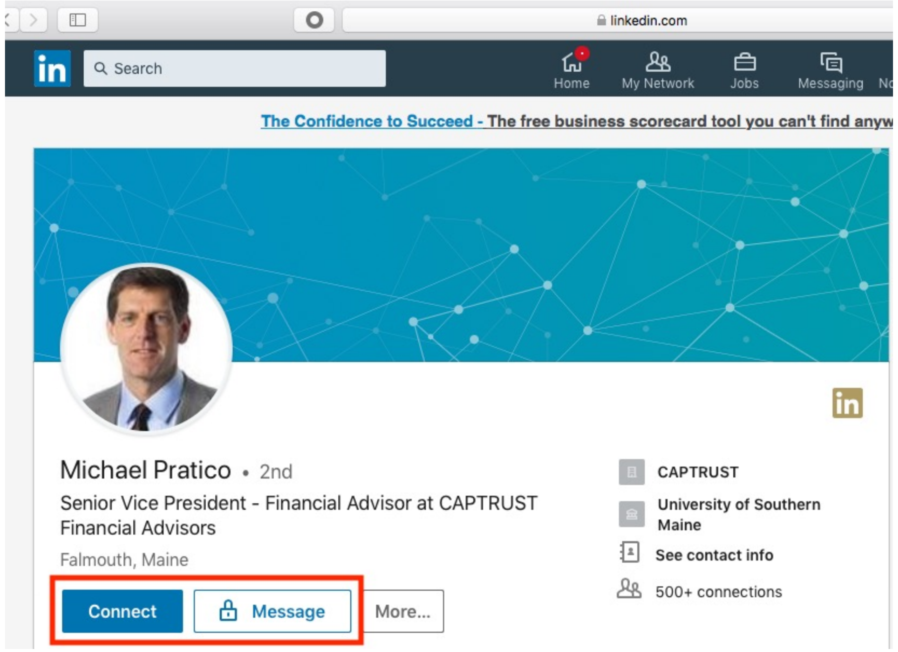
Writing Content



- Writing your own update is an option, even though we encourage sharing CAPTRUST's proprietary content first.
- We encourage you to post links from our corporate website, as this content is already compliance-approved, and you do not have to worry about an external ad or content that could be a liability or create a negative image.
- Remember to not post anything solicitous, promissory, aggressive, defamatory, or relating to litigation (aside from CAPTRUST's Fiduciary Update).
- **Pro Tip:** When using a link from our site, the image and header information are automatically attached to your post. Just make sure to delete the link itself from the dialogue box, and replace it with your comment.

LinkedIn

Making Connections



- The highlighted button may say "Connect" or it may say "Message"—depending on how you are related to someone else's network. Choose either option.
- When you choose "Message", it may prompt you to write a personalized note; we highly encourage you to do so!

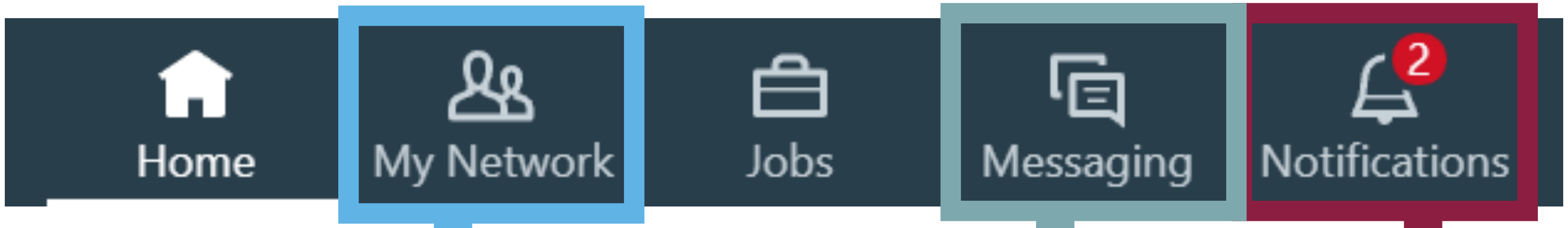
LinkedIn

Best Practices

- The best times to post are Tuesday–Thursday, at noon and between 5PM and 6PM.
- Add as much information to your profile as possible.
- Be on alert for emails from marketing announcing when new content is posted, and then share it with your network.
- Join groups and participate in discussions. (You cannot start your own group or group discussion. See the Compliance Checklist for more information.)
- Do NOT solicit business in any way via LinkedIn.
- Follow companies such as CAPTRUST and your clients' companies.
- Connect with contacts at your client and prospect companies.
    - Make sure you are connected with and following your top ten clients.

LinkedIn

10 Things to Do Every Time You Log In



1. **Check your messages and respond**
   - Respond promptly and professionally, just like you would with email.

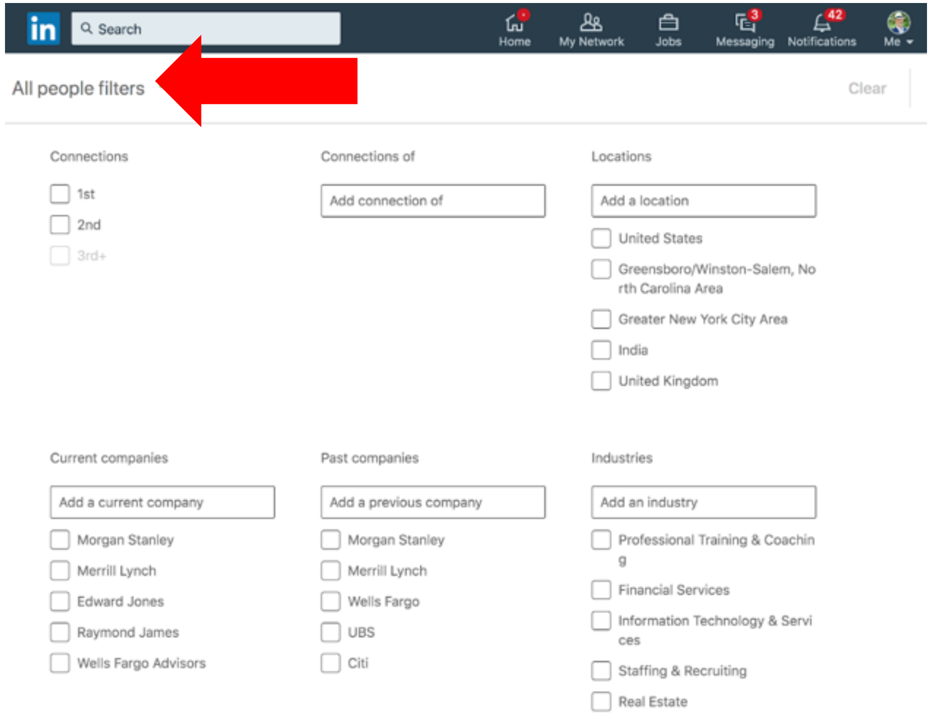
2. **Check “My Network” for recent activity**
   - Look at requests to see if they have prospect or COI potential.

3. **Review your notifications**
   - Stay up-to-date with your network, and look for opportunities to engage.

Source: wealthmanagement.com | May 23, 2019

LinkedIn

10 Things to Do Every Time You Log In, cont.

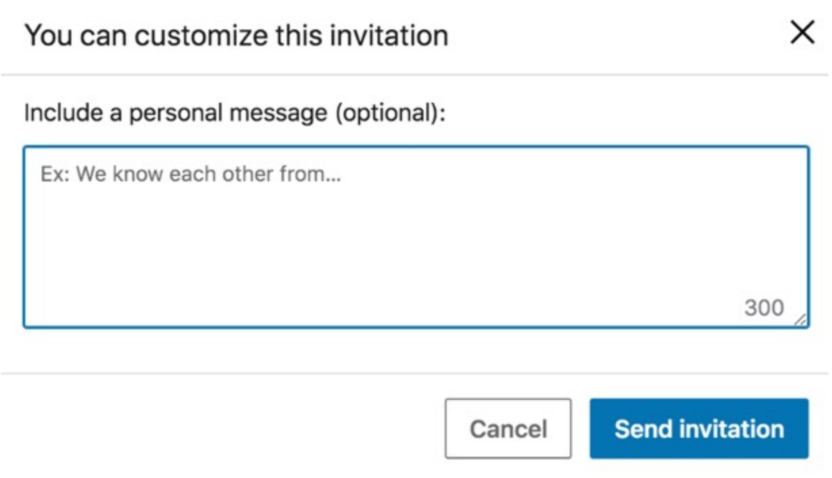


4. **Connect with 25 new prospects and deploy a messaging sequence**
   - Run an advanced search in LinkedIn for people who match your ideal client profile and invite them to connect.
   - Don't just pitch! For now, create a message sequence that adds value and concludes with a request for a brief phone conversation.

Source: wealthmanagement.com | May 23, 2019

LinkedIn

10 Things to Do Every Time You Log In, cont.

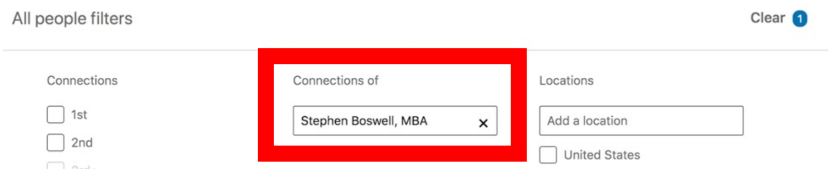


5. Send personalized connection invitations to people you have recently met

- Think back to past networking functions, go through a stack of business cards, review your recent emails, and send invitations to connect.

6. Touch base with a dormant connection

- Find one person every day and shoot them a quick note to catch-up. Try to keep it short but personal.



7. Find a new introduction opportunity

- Run a search and leverage the “connections of” filter. Then, identify at least one person you would like to meet in person and do some research on them.

Source: wealthmanagement.com | May 23, 2019

LinkedIn

10 Things to Do Every Time You Log In, cont.

8. Stay top-of-mind by sharing an update

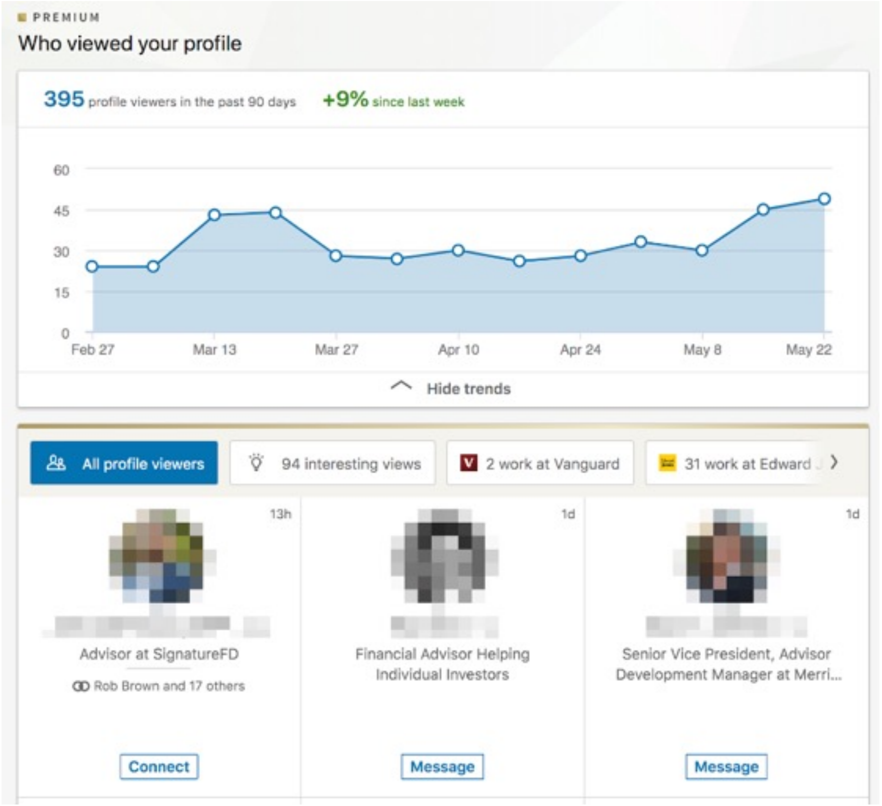
- Share articles you find interesting or other professional and philanthropic updates.

9. Make meaningful comments on your connections' posts

- Take the time to make a handful of meaningful comments on posts from important people in your network. When you engage with others, they will notice and appreciate it.

10. See who has viewed your profile

- If someone looks at your profile, there's a reason. Review their profile and determine if it is someone with whom you would like to develop a relationship.

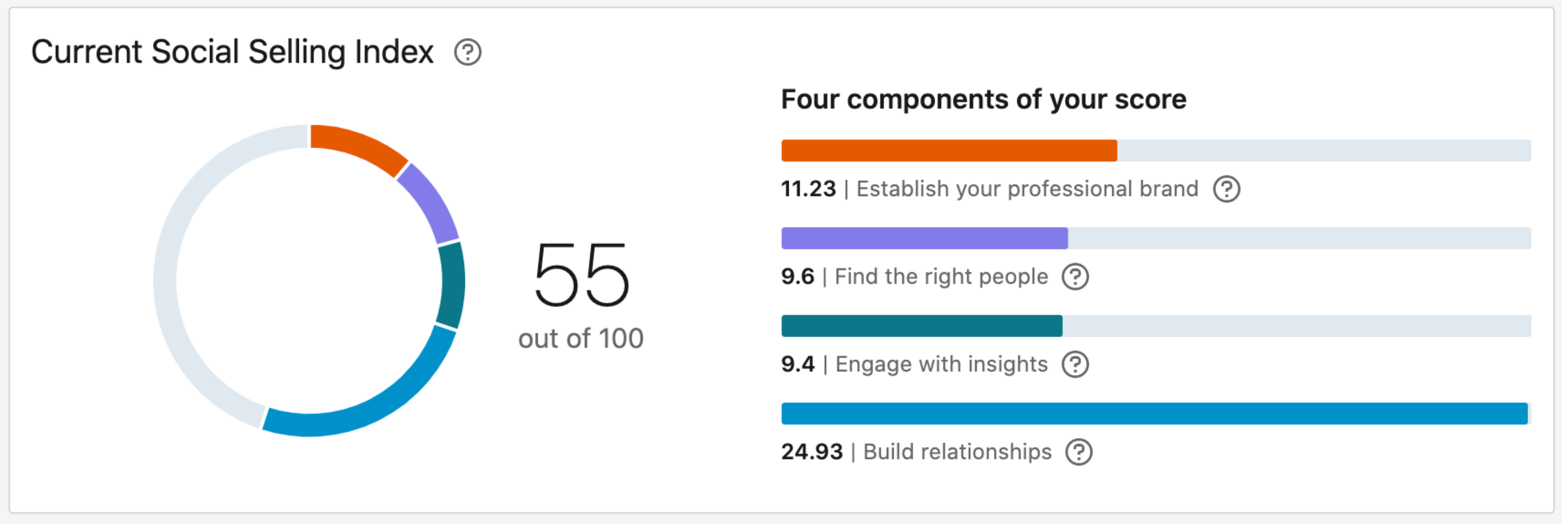


Source: wealthmanagement.com | May 23, 2019

LinkedIn

Social Selling Index (SSI)

- Your SSI score measures the impact of your selling efforts by tracking your performance across four essential components: establishing your professional brand, finding the right people, engaging with insights, and building relationships. See sample below.



- The maximum score for each component is 25, making your total SSI score a number out of 100.
- To access your SSI score, visit this link: https://business.linkedin.com/sales-solutions/social-selling/the-social-selling-index-ssi

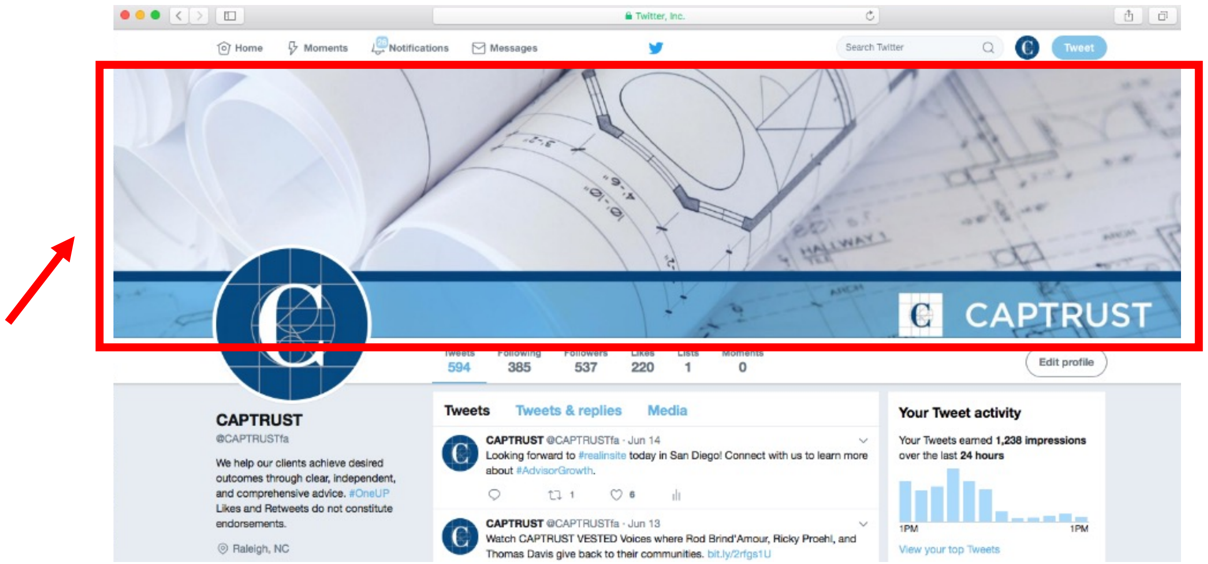
Twitter

Twitter

Setting Up a Profile

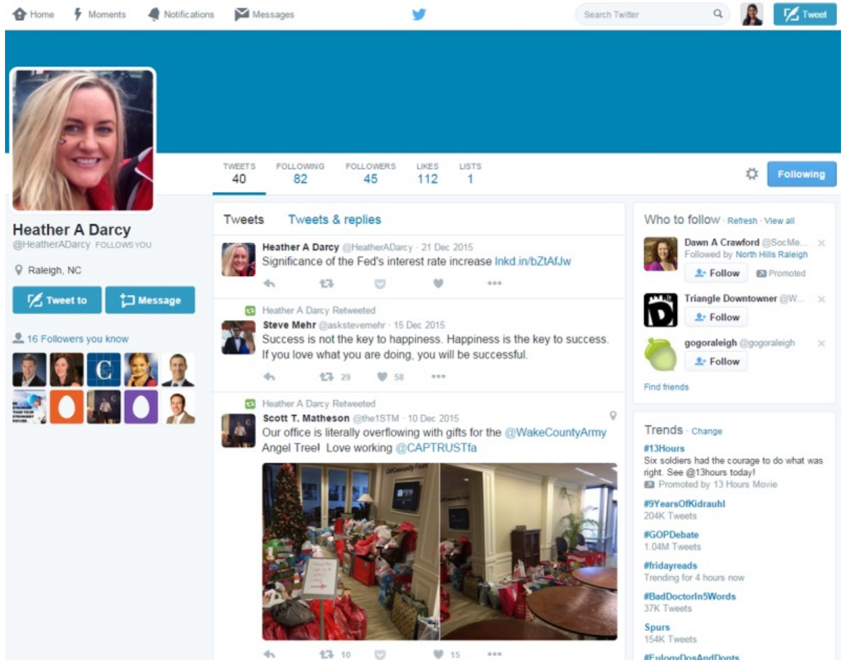
The following guidelines are crucial for a complete, robust, compliant, and branded profile:

1. **Add a Photo:** Use either your corporate headshot—found in the Headshots tile of the marketing department's intranet page—or something personal but business appropriate.
2. **Add a Bio:** The bio can list your title ("Vice President and Financial Advisor at CAPTRUST") and something personal. For example, Mike Gray's bio says the following:
   - "Financial wizard and golf junkie with good taste in beers."
   - Don't be afraid to have fun—Twitter is a great place to show off our one-of-a-kind culture.
3. **Location:** List your office location.
4. **URL:** Feel free to use captrust.com, or you are welcome to leave it blank if you tend to use Twitter for more personal purposes. You can also choose to have two profiles (one professional account and one personal account).
5. **Header Photo:** We have some CAPTRUST-branded header photos available if you'd like to use one. If not, choose something of your own that reflects who you are.



Twitter

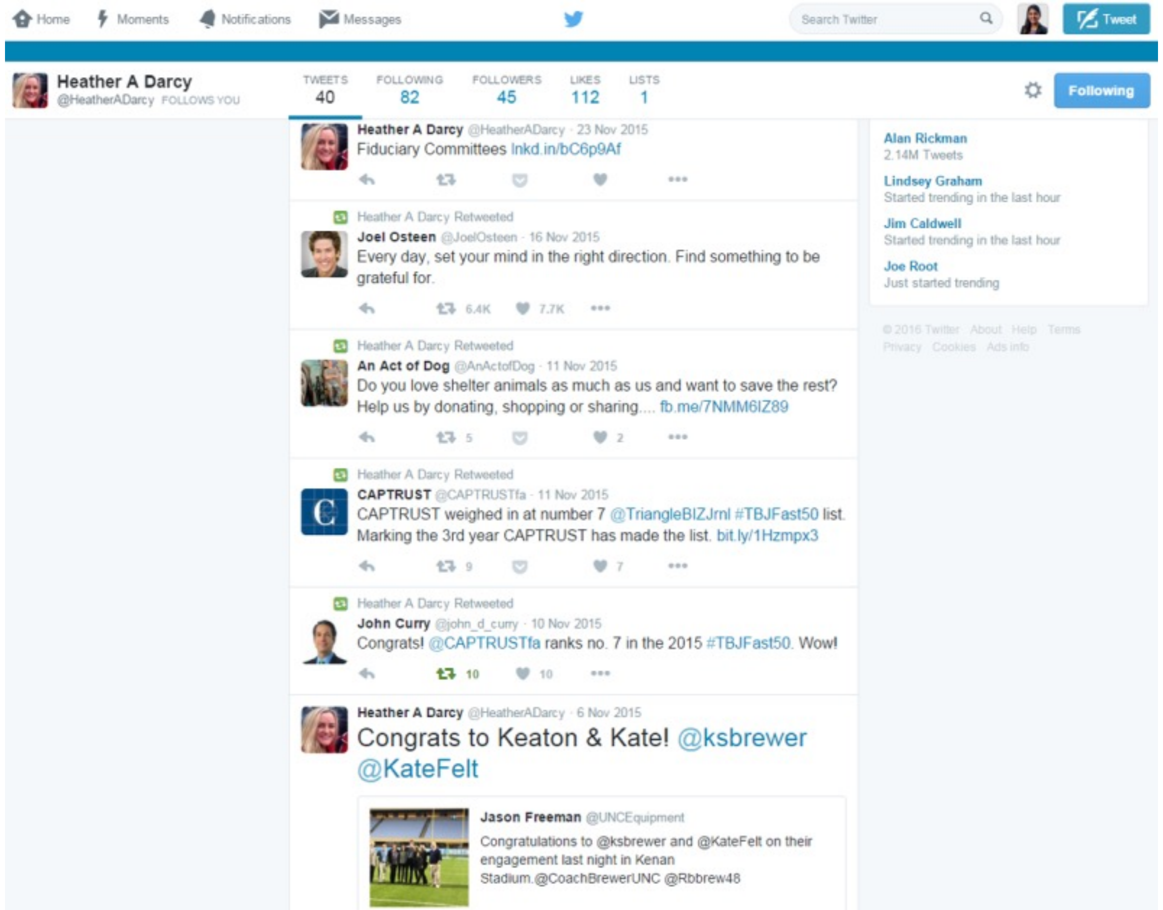
Profile Example – Advisor, Heather Darcy (Raleigh)



- Heather has a picture of herself, her name, and her location. These add a personal touch to her profile, while remaining professional.
- See some of the content she's shared already: CAPTRUST content, a motivational quote, and a retweet from a coworker regarding our charitable work in Raleigh.

Twitter

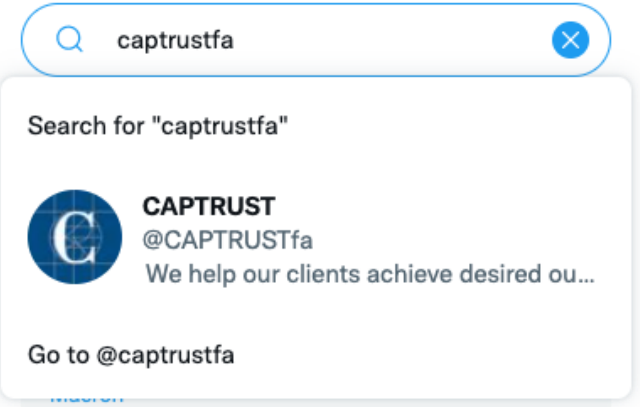
Profile Example, cont.



- Here are more of her tweets. Heather uses a good mix of personal, company-related, and industry-related content
- She even retweeted from An Act of Dog, a charitable organization that she actively supports.

Twitter

Searching for CAPTRUST



- Type “CAPTRUSTfa” into the search bar.
- Select the entry for CAPTRUST that has our logo.

Twitter

Following CAPTRUST and Others

- Click the “Follow” button at the top right of the account page.
- This action is true for any account you may want to follow.

Twitter

Content

Whether you are retweeting or writing your own tweets—or merely replying to a tweet—make sure that your content/commentary:

- Is **not** solicitous
- Is **not** promissory
- Is **not** aggressive or defamatory about a person or company
- Does **not** reference litigation of any kind
    - The one exception here is posting CAPTRUST's Fiduciary Update, which is okay.

Twitter

Interacting on Twitter

Reply

Replying is a way to engage in conversation with others on Twitter.

Like

Doing so is similar to when you “Like” something on Facebook.

Retweet

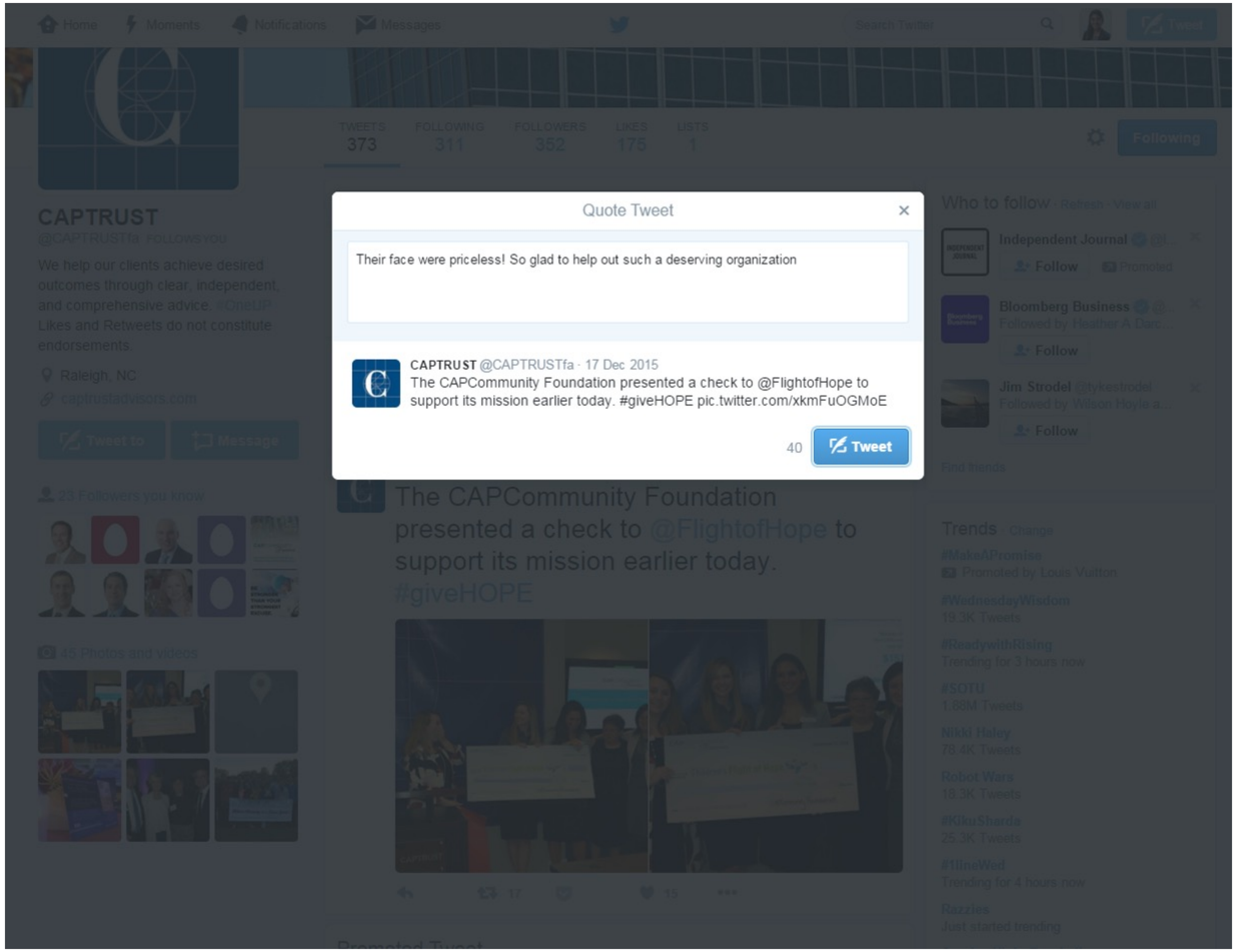
Retweet content to share it easily.

Content we frequently share on Twitter includes Plan Sponsor E.Brief, Market Thoughts, Investment Feature, Fiduciary Update, *VESTED* articles, RFP resources, and industry awards.

We have found a positive correlation between a consistent frequency of tweets and number of followers, so start tweeting today!

Twitter

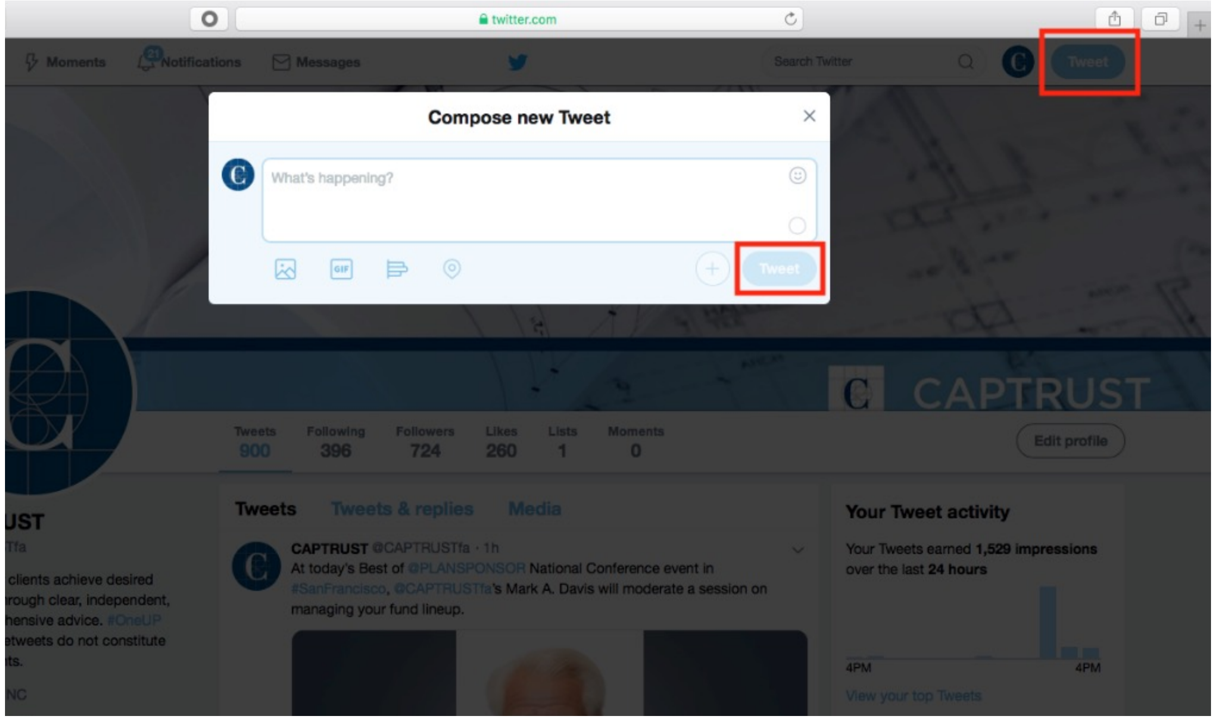
Retweeting Content



- When you retweet, you can add a blurb, but you don't have to do so.
- The left is an example of a simple blurb you can add when you retweet something.
- Click "Tweet" and you're done!

Twitter

Writing Content



- Tweets are limited to 280 characters.
- Writing your own tweets gives a personal feel to your account, which we encourage.
- If you choose to share business-related content, we encourage you to post links from our corporate website, as this content is already compliance-approved.
- Remember to not post anything solicitous, promissory, aggressive, defamatory, or relating to litigation (aside from CAPTRUST's Fiduciary Update).
- If you want to tweet encouragement to a fellow advisor or talk about the great burger you had at lunch, go ahead!

Twitter

Best Practices

- The best times to post are Monday–Thursday between 1PM and 3PM.
- Don’t be afraid to show your personality.
- Do NOT solicit business in any way via Twitter.
- Follow news outlets (for business, politics, sports, etc.).
- Follow centers of influence and industry-related organizations that you know.
- Follow your top ten clients.
- Share CAPTRUST-generated content, but don’t bog down your profile with retweets from our corporate account.

STAYING COMPLIANT

Your Compliance Checklist

LinkedIn

- ❑ My endorsements are hidden.
- ❑ My employer in the “Experience” section says “CAPTRUST”.
- ❑ None of my FINRA licenses are displayed.
- ❑ I have not created a group or started a group discussion. *(This is classified as advertising, but you* ***can*** *reply to and participate in group discussions.)*

Twitter

- ❑ I am not reaching out to followers on a list en masse.

LinkedIn and Twitter

- ❑ I have disclosed all LinkedIn and Twitter accounts to Compliance. *(This is mandatory if you use the name “CAPTRUST” in your account profile or share content from the CAPTRUST accounts.)*

See MyComplianceOffice or the Compliance department for more documents on what is acceptable social media use. You should have signed and agreed to various documents relating to this topic as a part of our annual compliance meeting and review.

RESOURCES

Resources

Glossary—LinkedIn

TERM	DEFINITION	DETAILS & EXAMPLES
Company Page	A place for businesses to include information about their business and create updates about their business and their industry. CAPTRUST uses the company page to release timely content to be shared among networks.	www.linkedin.com/company/captrust
Connection	An indicator that you and a person are connected to each other.	Make sure to be connected to clients and prospects, as well as fellow advisors.
Degrees	This acts like "6 Degrees of Separation" by showing you how you are connected to a person, even if it's through a number of people.	You can view profiles of your 2^{nd} and 3^{rd} degree connections, and who you know that knows them. Use this to your advantage to be introduced to prospects who may be a 2^{nd} or 3^{rd} degree connection.
Endorsement	A LinkedIn endorsement allows LinkedIn users to vouch for the skills listed on LinkedIn profiles. It is a quick way for connections to publicly verify that people they know are qualified in the skill that they can claim for themselves.	Financial professionals based in the U.S. are not allowed to have or make public recommendations/endorsements due to compliance regulations. These can be construed as testimonials and are NOT permitted.
Groups	These can be public or private, and can be created by an individual or company. Groups allow users to come together and talk about a specific subject on one page.	Join groups relevant to professionals in spaces such as 401(k), HR, investments, etc. Start discussions or make connections with those in need of help. Remember: you must NOT solicit business through social media. But you can connect and reach out to people. You CANNOT start your own group or group discussion.
Influencers	Key and influential people in your industry that can provide you with great content.	Try following Influencers in the industry to stay up-to-date on recent news.

Resources

Glossary—LinkedIn, cont.

TERM	DEFINITION	DETAILS & EXAMPLES
InMail	Messages that are sent directly to another LinkedIn member you're not connected to.	This can only be used if you have a Premium account.
Invitation	An invite to join networks and connect with others.	Send invites to your top ten prospects, and don't forget to include a personalized message.
Mention	You can mention others in your LinkedIn updates by typing "@" followed by their name. This links them to your post and allows readers to view their profile.	E.g., "Great insight on current market volatility from @the1STM"
Network	Your connections, which also includes the connections of your connections.	Leverage your network to have people introduce you to possible prospects.
People You May Know	People suggested based on your network.	This may be useful for finding more connections.
Profile	Here you will add information about you and your job history.	Make sure your profile is compliant (see "Compliance Checklist").
Recommendation	A way to recommend a friend/colleague, based on their professional experience, to anyone who views their profile.	Financial professionals based in the U.S. are not allowed to have or make public recommendations/endorsements due to compliance regulations. These can be construed as testimonials and are NOT permitted.
Update	Status updates and content that you post.	Updates can be sourced from CAPTRUST-generated content, available on the corporate website. When promoting outside content, be cautious from both compliance and professional perspectives.

Resources

Glossary—Twitter

TERM	DEFINITION	DETAILS & EXAMPLES
Cashtags	A company ticker symbol preceded by the U.S. dollar sign. When you click on a cashtag, you'll see other Tweets mentioning that same ticker symbol.	E.g., $AAPL, $GOOG, and $TWTR
Direct Message	This is the only way to talk to someone on Twitter privately. You can create these by either starting your tweet with "DM" or going to someone's profile and using the "message" function.	You can only message someone who follows you. This function won't be crucial to your Twitter use. If you have more questions, feel free to ask us.
Feed	This is the first thing you see when you log in to Twitter. New posts from your followers are placed in your feed.	This is constantly changing as the day goes on. Try "liking" a tweet if you want to save it for later.
Followers	These are the people who have followed your handle and can see your updates in their feed.	You do not have to follow them in order for them to become your follower.
Following	These are the people you follow so you can see their updates in your feed. They do not have to follow you for you to be able to follow them.	Follow coworkers, clients, contacts at COIs, and industry organizations.
Handle	This is your "username" on Twitter that appears with an "@" symbol in front of it.	E.g., @CAPTRUSTfa and @NYSE
Hashtags	A word or phrase (with no spaces), preceded by a "#" sign. They are used to tie various social media posts together and relate them to a topic. Topics are sometimes connected to an event, TV show, sporting event, or any happening or trend, etc. Click on a hashtag to read other Tweets mentioning that topic.	E.g., #CAPTRUSTCares, #finserv, #investments, #401k, #OneUP, and #tbt (throwback Thursday)
Like	This functions just as a Facebook "like" does.	You can also use this as a saving tool and go back to your likes later.

Resources

Glossary—Twitter, cont.

TERM	DEFINITION	DETAILS & EXAMPLES
Lists	Groupings of your followers that you've created and categorized so that you can find them easily.	Creating lists is a good way to categorize your followers, but remember not to contact them all at once, which is considered advertising.
Mention	The act of including someone's handle in your tweet. That person will then get a notification that they've been mentioned. If you start a tweet with someone's handle, it registers as a reply, not a mention, and not everyone can see it (see "Reply").	E.g., "Excited to hear @MillerFielding announce the Brick Awards at Synergy today!"
Moments	Denoted by a lightning bolt icon, Moments serve as a good source of news and current trends happening in the U.S. and around the world in news, sports, entertainment, and more.	This function won't be crucial to your Twitter use, but it is definitely a good way to keep up with what's happening. If you have more questions, feel free to ask us.
Reply	You can reply directly to a tweet. Only the people following both you and the person you're replying to can see your reply.	E.g., "@CAPTRUSTfa wow great insight on current market trends"
Retweet	A way to repost or share someone else's tweet.	Use a retweet to easily share CAPTRUST content or other content you find interesting or relevant.
Trends	The most commonly used hashtags at that present time are considered trends. They can also be made to pull from a specific location. You can find them to the left of your feed and the right of your profile.	This function won't be crucial to your Twitter use, but is definitely a good way to keep up with what's happening. If you have more questions, feel free to ask us.
Tweet	The content you share with your followers.	E.g., "What a beautiful day outside!"
Verified Account	This is used to establish authentic handles of key or public individuals and brands.	You'll see a blue checkmark next to someone's name if they are verified.

Resources

Key Contacts

Name	Subject Matter
Jennifer Mastrapasqua	Overall Branding
Brenda Glover	Compliance
Clerise Phillip Samuel	LinkedIn & Twitter
Evan Mann	LinkedIn & Twitter

We are happy to help you with the following:

- setting up your profile;
- downloading the respective apps for iOS and Android;
- showing you how to share a post; and
- showing you where to get content that is compliant.