

Working with Hargreaves Lansdown

Service Delivery Guide for Suppliers

**HARGREAVES
LANSDOWN**

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1 Introduction

Hargreaves Lansdown (HL) values strong collaborative relationships with suppliers to support the quality products and services we deliver to our Clients. This guide is a high-level view of HL's expectations for suppliers, so:

- ✓ Our expectations are clearly communicated, so you can set up for success.
- ✓ It is easier to work with us and more productive for you and your teams.
- ✓ We make the most of our relationship, innovating as you and HL change.

2 Oversight of Supplier Service Delivery

Every supplier has a nominated HL employee or director who performs the roles and responsibilities of the 'Contract Manager'. They are a key contact for you, and we expect you to have open lines of communication with this person, either directly or through your key contact at HL.

This person adopts our proportionate approach to ensure our oversight reflects the importance and criticality of the products & services you provide to us.

Supplier Responsibilities

All suppliers are expected to:

- Deliver goods & services as the terms of the agreed contract and in compliance with our Supplier Code of Conduct.
- Provide performance reporting as required by the contract.
- Maintain controls and governance arrangements proportionate to the importance and criticality of the services you provide.
- Manage subcontractors involved in delivering services to HL appropriately and, where stipulated, in-line with your contractual obligations
- Promptly communicate material incidents, risks or service issues to us.
- Let us know of any organisational changes that may affect service delivery.
- Support our regulatory, audit or assurance requests where needed.
- Play an active part in the performance reviews we schedule.

Performance Reviews

Regular performance reviews help ensure your services continue to meet our expectations and highlight opportunities for improvement.

Reviews can take place monthly, quarterly, annually or, for low-risk suppliers, on an ad hoc basis, dependent on our monitoring of your services and risk profile. Reviews have a defined agenda and typically cover:

- Service delivery: review of your performance against agreed objectives, including achievement of service levels and key performance indicators.
- Incident & issue management: review how you and we addressed incidents; and confirm our joint readiness should incidents occur in the future.
- Updates on subcontractors and organisations in your supply chain involved in delivery of services to HL.

- Change Management: Assess potential impacts & risks, support test, implementation & transition, and communication through the change.
- Customer and stakeholder feedback: on your service and us at HL.
- Risk and compliance: your view of potential risks affecting the service.
- Innovation and improvement: opportunities to improve the service, including efficiencies & service enhancements
- Industry insights and best practices: your view of industry developments.

NB: Where performance concerns arise, you will be expected to agree and implement corrective action plans with clear timescales for improvement.

Attestations

Where appropriate, you may be asked for an annual attestation to confirm compliance with areas such as Conflict-of-Interest, Contract fitness for purpose, Code of Conduct and other published or contractual requirements.

3 Audits and other Assurance activity

We conduct periodic assurance activities throughout the supplier relationship, which may include:

- Due diligence refresh / update
- Audit / assessments of the controls you have in place
- Contract reviews & amendments where needed, e.g. regulatory change.
- On-site audits of your operations, and that of your subcontractors
- Risk reviews

Suppliers must cooperate with these assurance activities and provide support as requested by HL.

4 Code of Conduct & Whistleblowing

Details of HL's Supplier Code of Conduct can be found on the 'Suppliers' section in HL.co.uk. We expect you and colleagues to be aware of your responsibility to report breaches of The Code, and the ability to raise concerns via your HL point of contact, or by using our independent, confidential reporting service provided by EthicsPoint.

You can call 0800 056 9427 or access HL Whistleblowing Web Page at hl.co.uk or scan the QR code to get there.



5 Contract renewal & queries

The needs of HL and our Clients continue to change, so renewal of your service can never be guaranteed. However, delivering in line with this, and our other guides, puts your organisation in a good place to build your relationship with HL and continue to be a valued supplier.

For general questions about this or other aspects of being a supplier to HL, please contact your usual HL contact or designated Contract Manager and review the information available at HL.co.uk.

6 Summary of guides and more information

The following documents are available on HL's corporate website www.hl.co.uk:

Suppliers page

- HL Supplier code of conduct
- Supplier Onboarding Guide
- Responding to Due Diligence Requests
- Supplier Service Delivery Guide
- Supplier Invoicing Guide

Other relevant HL Policies.

- Human rights Policy (downloads a pdf)
https://www.hl.co.uk/_data/assets/pdf_file/0006/18954564/HL-Human-Rights-policy-external.pdf
- Whistleblowing Policy (link to web page)
<https://www.hl.co.uk/about-us/whistleblowing>
- Modern Slavery Act Statement (downloads a pdf)
https://www.hl.co.uk/_data/assets/pdf_file/0009/11399832/Modern-Slavery-Act.pdf
- Responsible Business (ESG and CSR) (link to web page)
<https://www.hl.co.uk/responsible-business>