

Working with Hargreaves Lansdown

Responding to Due Diligence Requests

**HARGREAVES
LANSDOWN**

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1 Introduction

This guide assists with completing Due Diligence requests sent to you when your organisation is being onboarded as a supplier to HL, is part of a competitive quotation process, or requires Due Diligence refresh as an ongoing supplier at HL.

We use UpGuard to securely manage and review supplier security assessments, and your correct completion of requests and provision of requested supporting information is vital to ensure we protect you, our Clients, and HL from harm, and meet the expectations of our regulators.

2 Before You Start

You will need:

- Access to the email invitation from UpGuard
- An UpGuard account (free to create if you do not already have one)

If you cannot find the invitation email, you can log in directly via the address below and view any outstanding requests assigned to your organisation. <https://cyber-risk.upguard.com/register/trust>

Access is set up for the email address provided to HL. If you were not given access for your email address, ask HL to add you to recipients list, or (as below) ask the person in your organisation who did receive it to add you.

3 Complete Questionnaire(s)

Questionnaires are triggered by us at HL but come from UpGuard and are titled *"Request from Hargreaves Lansdown to complete a security questionnaire"*.

Please note on most occasions you will receive multiple emails, one for each questionnaire. Each email is individual to a questionnaire and needs a response.

- Open the invitation email from UpGuard and click the 'Complete Questionnaire' link.
- Sign in to your UpGuard account. (If this is your first time using UpGuard, you will be prompted to create a free account.)
- Navigate to Trust Exchange > Answer Questionnaires.
- Select the questionnaire sent by Hargreaves Lansdown.

If you're not responsible for completing the questionnaire, please use UpGuard to invite the right colleague to respond. (See collaboration options section).

Complete **every** Questionnaire

For each questionnaire

- Select Start Questionnaire.
- Answer all required questions

For ease of completion, your progress is saved automatically, your draft responses remain private (we cannot view your answers) until submitted, and you can use filters in the sidebar to find unanswered or mandatory questions.

Using AI-Assisted Responses

UpGuard includes AI-powered tools to draft responses based on information held within your organisation.

AI-generated responses must be reviewed for accuracy before submission.

Working Offline

If helpful, you can export the questionnaire, complete it offline, and then upload your responses back into UpGuard when ready.

4 Collaboration options

Questionnaires may require input from various teams within your organisation, such as Information Security, IT Operations, Data Protection, Compliance, Risk Management, and your Procurement team.

To collaborate within UpGuard:

- Open the questionnaire. [Trust Exchange ➔ Answer Questionnaires]
- Select **Add Collaborator**. [Find it under 'Sent to' field in collaborator section]
- Invite colleagues who can help answer relevant sections.

5 Review and Submit

Before submitting, hover over the Submit button to see progress, then check:

- ✓ All mandatory questions have been answered
- ✓ Responses are correct and up to date
- ✓ Supporting evidence has been attached where requested
- ✓ Internal review and approval have been completed
- ✓ you have clicked **Submit** to return the complete questionnaire to us at HL.

Remember, if you do not click 'Submit', we cannot view your response.

Need to Make Changes Later?

If you need to update a submitted response:

- Log in to UpGuard.
- Navigate to **Trust Exchange > Answer Questionnaires**.
- Open the relevant questionnaire.
- Select **Edit Answers**.
- Update your responses and click **Submit**

6 Our review of your answers

Our subject matter experts will review your answers and may use UpGuard chat functionality to ask specific follow-up questions, so please keep an eye out for notifications and respond promptly.

7 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>