



## We're Invested in Advocacy and Ethics

We believe our clients deserve an advocate they can trust.

### Serving your goals

When we say we're invested in our clients, it's more than just a clever turn of phrase. It's what we're founded on. We believe investing has the power to transform lives.

That's why we actively advocate on regulatory and legislative issues that directly affect clients' abilities to achieve their investment goals or our ability to serve clients with passion and integrity.



#### Client advocacy

We know the greatest opportunity for change is at the policy level. So the Schwab Office of Legislative and Regulatory Affairs supports the creation of responsible policies designed to help people pursue their financial dreams.

As advocates, we educate lawmakers, regulators, and executive branch officials at the international, federal, state, and local levels. We provide an experienced perspective on legislative policy proposals that affect investors. And we educate our employees and clients about the vital roles they can play in the public policy process.

Likewise, Schwab advocates for the continued growth of the independent Registered Investment Advisor (RIA) industry and our more than 8,000 client firms. We use our position as the leading custodian to drive awareness and preference for the independent model. Ultimately, we work to ensure that the business ecosystem empowers success for RIAs.



#### Client advocacy

We put our Office of Legislative and Regulatory Affairs to work for our clients



#### Earning your trust

We're committed to the highest standards of conduct

## Nonpartisan political action

Our political action committee, Schwab PAC, supports fair and equitable policies that assist investors with taking ownership of their financial futures. Schwab PAC is nonpartisan—contributing equally to members of both major parties who take action on these important issues. It is funded solely by voluntary contributions from company executives and directors.



## Earning your trust

Our decisions have far-reaching implications for the financial services industry as a whole. The trust we earn from our clients and communities rests on upholding our reputation for integrity and lawfulness. We are committed to the highest standards of ethical conduct

Read our full [Code of Business Conduct and Ethics](#) to learn more about The Charles Schwab Corporation's policies on General Corporate and Personal Standards of Conduct, Conflicts of Interest, Confidentiality of Information, Employment Practices, Business Practices, and Compliance Procedures.

We take our responsibility to our stockholders seriously. The Charles Schwab Corporation has a single class of voting common shares, and each share is entitled to a single vote at stockholder meetings. Stockholders can vote by mail, by phone, online, or in person. Learn more about [governance at Schwab](#).

**Brokerage Products: Not FDIC-Insured • No Bank Guarantee • May Lose Value**

Schwab is committed to building a diverse and inclusive workplace where everyone feels valued. As an equal employment opportunity employer, our policy is to provide equal employment opportunities to all employees and applicants without regard to any status that is protected by law ([Equal Employment Opportunity policy](#)). Schwab is also an affirmative action employer, focused on advancing women, minorities, veterans, and individuals with disabilities in the workplace. We believe diversity and inclusion are part of our success as a company and our purpose of serving every client with passion and integrity.

The Charles Schwab Corporation provides a full range of brokerage, banking and financial advisory services through its operating subsidiaries. Its broker-dealer subsidiary, Charles Schwab & Co., Inc. (Member [SIPC](#)), offers investment services and products, including Schwab brokerage accounts. Its banking subsidiary, Charles Schwab Bank (member FDIC and an Equal Housing Lender), provides deposit and lending services and products. Access to Electronic Services may be limited or unavailable during periods of peak demand, market volatility, systems upgrade, maintenance, or for other reasons.

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The Charles Schwab logo, featuring the word "charles" in a lowercase serif font above the word "SCHWAB" in a bold, uppercase sans-serif font, all contained within a blue square.

*Own your tomorrow.*