

A woman with short brown hair, wearing a grey blazer over a red top, is leaning forward and looking intently at a man. The man has grey hair, wears glasses, a grey suit jacket, a light blue shirt, and a patterned tie. They appear to be in a professional setting, possibly a meeting or a presentation. The background is a plain, light-colored wall.

# Public policy and corporate governance

charles  
SCHWAB

*Own your tomorrow*

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Schwab’s stated purpose is “to champion every client’s goals with passion and integrity.” With that purpose as our guide, Schwab actively advocates on regulatory and legislative issues that have a direct impact our clients’ ability to achieve their investment goals or our ability to serve them effectively in meeting those goals.



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## Office of Legislative and Regulatory Affairs

The mission of the Schwab Office of Legislative and Regulatory Affairs is to encourage and support the creation of responsible government policies that help our clients achieve their financial dreams and our company grow and be successful. The office works to educate policymakers at the international, federal, state and local level about the effect of public policy proposals on the individual investor, and to educate our employees and clients about the important role they can play in the public policy process. The Legislative and Regulatory Affairs team's primary responsibilities are to:

- Inform policymakers about changes in our industry, Schwab's role in the financial services sector as a champion of individual investors, and Schwab's history of innovating to make our client experience the best it can be;
- Proactively encourage legislation and regulations that benefit our clients and individual investors generally;
- Educate lawmakers, regulators and executive branch officials about Schwab, its practices, policies, and goals;

- Actively participate in the legislative process by communicating the company's views on policy proposals that affect our clients and the company.

## Corporate Governance

Schwab's long-term vision is to be the most trusted firm in investing services. To reach this goal and accomplish our purpose of championing our clients' goals with passion and integrity, we are committed to the highest standards of ethical conduct. Our decisions and behavior have far-reaching implications: reflecting on our credibility, the Schwab brand, and the financial services industry as a whole. The trust we earn from our clients and communities in which we operate depends on our reputation for integrity and obeying the law.

Information on 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 are available [here](#).

The Charles Schwab Corporation has a single class of voting common shares and each share is entitled to a single vote. Stockholders can vote at stockholder meetings by mail, telephone, internet or in person.

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

Charles Schwab & Co., Inc. is an equal opportunity/affirmative action employer committed to diversifying its workforce. All applications are considered without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, age, disability, protected veteran status, or based on any individual's status in any group or class protected by applicable federal, state or local law.

The Charles Schwab Corporation provides a full range of securities, brokerage, banking, money management, and financial advisory services through its operating subsidiaries. Its broker dealer subsidiary, Charles Schwab & Co., Inc. ("Schwab"), 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. Schwab Advisor Services™ serves independent investment advisors and includes the custody, trading, and support services of Schwab. Independent investment advisors are not owned, affiliated with, or supervised by Schwab. Schwab Retirement Plan Services, Inc provides recordkeeping and related services with respect to retirement plans.

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The logo for Charles Schwab, 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.*