LPL at a Glance

Thoughtful, balanced financial guidance is a fundamental need for everyone. We provide financial professionals and institutions the tools they need to develop meaningful, long-term client relationships. We help independent financial professionals support their clients with research, technology, compliance, access to an ever-growing array of products, continuing education, and more. Our dedicated Institution Services division focuses exclusively on the needs of financial institutions and their diverse clients.

Corporate Snapshot

1989

LPL is founded through the merger of Linsco (est. 1968) and Private Ledger (est. 1973)

$5.8B

Trailing 12-Month Gross Revenue

17,287

Financial Professionals

4,756

LPL Employees

Recognition

#1 Corporate Social Responsibility / Diversity[1]

#1 Technology[1]

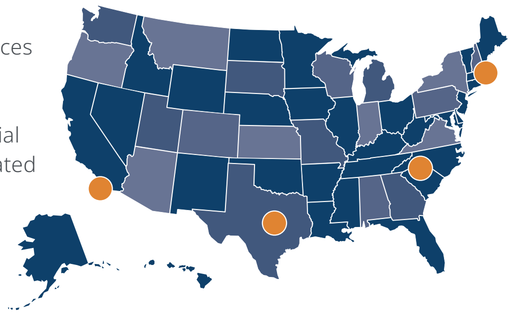
Client Assets Serviced and Custodied

$441.9B
Brokerage

$461.2B
Advisory

LPL Across America

LPL has home offices in Austin, Boston, Fort Mill, and San Diego, and financial professionals located in all 50 states.



Banks and Credit Unions

Largest provider of third-party investment services to banks and credit unions[2]

485
Banks

300
Credit Unions

These financial institution partners comprise:

$41.7B
Advisory Assets

$100.8B
Brokerage Assets

$726.4M
Trailing 12-Month Gross Revenue

2,542
Financial Professionals

LPL backs the wisdom and experience of independent professionals with a catalog of services and resources, including:

- Objective market research
- Innovative technology with leading cybersecurity functionality
- Compliance oversight
- Ongoing practice consulting and training

Data as of December 31, 2020

[1] Source: 2019 WealthManagement.com Industry Awards

[2] 2019/2020 Kehrer Bielan TPM Survey. Based on financial institution market share.

RICH WEALTH PLANNING

LPL Financial

LPL at a Glance

To learn more, visit LPL.com

Personalized Support

Our 1:4 ratio of employees to financial professionals ensures they have the service and support to help exceed client expectations.

No Proprietary Products

LPL has no proprietary investment products or investment banking operations. Financial professionals are empowered to make informed recommendations based on objective research and unique client goals.

Objective Guidance

LPL's Research team of experts—analysts, strategists, economists, and investment and communications specialists—is focused on delivering objective guidance.

Investing in What Matters

We invest hundreds of millions of dollars each year in key growth areas like Technology and Service, to ensure financial professionals thrive—now and in the future.

$154M
Technology

Our technology road map includes digitizing the advisor practice to drive efficiency and meet the growing demand for personalized advice at scale.

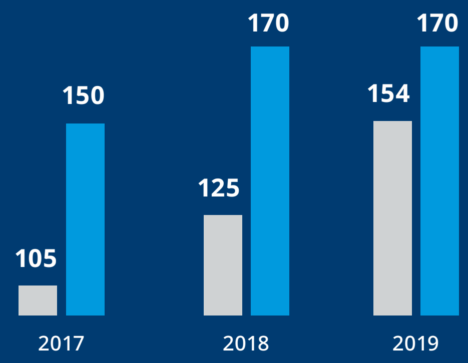
$170M
Service & Support

Nothing compares to the power of relationships. We're focused on attracting the right talent to provide unmatched service and support.

Portfolio Spend

(in millions)

Technology   Service & Support



LPL Financial Foundation

Making a Difference

The LPL Financial Foundation was established in order to give back in the communities where our clients and employees live and work. We provide direct financial support to charitable organizations, offer matching gifts for LPL financial professional and employee contributions, and coordinate ongoing employee giving and volunteer activities.