

LPL BY THE NUMBERS



AN INDUSTRY LEADER

1989 LPL was founded in 1989

19K+ Financial professionals serviced

800+ Financial institution partners

FORTUNE 500 Ranked no. 466 on the Fortune 500 List¹



#1 INDEPENDENT BROKER/DEALER

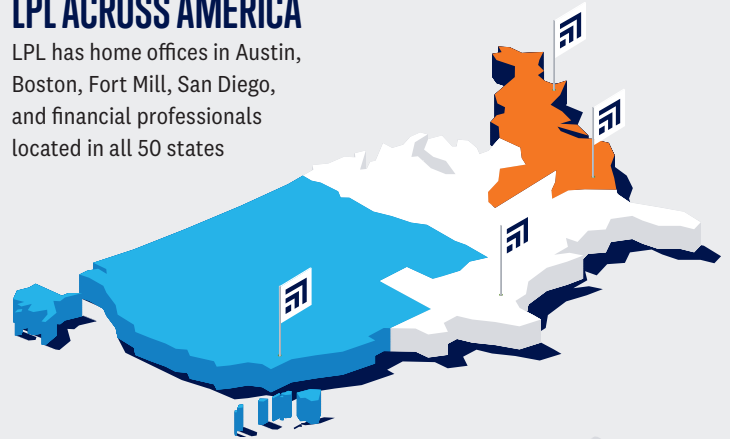
In the United States²

#1 PROVIDER OF 3rd-party investment services to banks and credit unions³

#3 RIA CUSTODIAN In the United States⁴

LPL ACROSS AMERICA

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



SERVING INVESTOR ACCOUNTS

7M Client accounts serviced

\$1T Brokerage and advisory client assets, serviced or custodied

24/7 Access to your account information via our mobile app and portal



INVESTMENT OPTIONS TO ADDRESS YOUR NEEDS



ZERO PROPRIETARY LPL PRODUCTS WITH THOUSANDS OF INVESTMENT OPTIONS

Access to a breadth of investment solutions—from mutual funds to bonds to alternative investments—and fee-based investment programs that your financial professional can leverage to craft your customized portfolio

Data as of September 30, 2021

- 1 Fortune 500 ranks U.S. companies based on a review of the prior year's total revenue and factors such as profits after taxes, year-end assets and total stockholders' equity.
- 2 As reported by Financial Planning magazine, June 1996-2021, based on total revenue.
- 3 2020/2021 Kehrer Bielan TPM Survey. Based on financial institution market share.
- 4 Cerulli Associates, 2020 U.S. RIA Marketplace Report

LPL.COM

 LPL Financial

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SUSTAINABLE INVESTING WITH LPL



Sustainable investing is investing with the intention of generating a positive environmental, social, and governance (ESG) impact alongside a financial return. LPL supports the growth and development of sustainable investing practices by providing education, insights, research, and solutions.

157 Sustainable mutual fund options

75 Sustainable exchange-traded fund options

PROTECTION YOU CAN RELY ON

\$40M DEDICATED ANNUAL BUDGET
We invest in cybersecurity and data privacy to keep you and your data protected from cyberattacks

800 Risk & compliance experts provide you guidance and oversight

100 Cybersecurity experts to keep you and your clients protected



GIVING BACK TO OUR COMMUNITIES

\$1.7M In charitable donations in 2020: The LPL Financial Foundation provides direct financial support to charitable organizations, offer matching gifts for LPL financial professional and employee contributions, and coordinate ongoing employee giving and volunteer activities

 **LPL Financial**
Foundation



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MODERN **FAMILY**
Asset Management
No matter how you define it, we have a plan.

Securities and advisory services offered through LPL Financial, a registered investment advisor, Member FINRA/SIPC. LPL Financial and Modern Family Asset Management are separate entities.