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)

$5.57B
Trailing 12-Month Gross Revenue

16,464
Financial Professionals

4,343
LPL Employees

Recognition

#1 Corporate Social Responsibility / Diversity[1]

#1 Technology[1]

Client Assets Serviced and Custodied

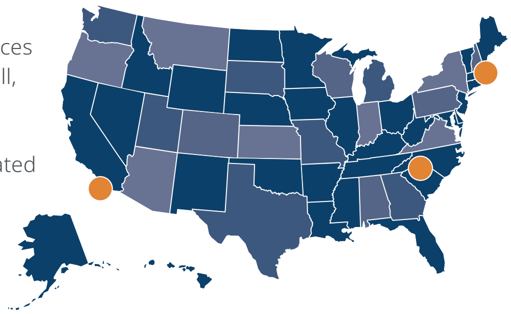
$764.4B
Total

$398.6B
Brokerage

$365.8B
Advisory

LPL Across America

LPL has home offices in 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]

782
Financial Institution Partners

490
Banks

292
Credit Unions

These financial institution partners comprise:

$121.7B
Brokerage and Advisory Assets

2,507
Financial Professionals

$697.0M
Trailing 12-Month Gross Revenue

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 12/31/19

[1] Source: 2019 WealthManagement.com Industry Awards

[2] 2017/2018 Kehrer Bielan TPM Survey. Based on financial institution market share.

LPL Financial

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To learn more, visit LPL.com

Personalized Support

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

90–100% Payout

LPL's competitive payout on brokerage and advisory makes LPL a potential low-cost option for many financial professionals.

No Proprietary Products

LPL has no proprietary investment products or investment banking operations. You're empowered to make informed recommendations based on objective research and your clients' individual needs.

In a recent survey of affluent investors, LPL Financial ranked #1 for all five drivers of customer loyalty[1]:

- #1 Quality of investment advice
- #1 Financial stability
- #1 Easy to do business with
- #1 Range of investment products & services
- #1 Retirement planning services

Objective Guidance

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

Two months: Average Length of Transition

90–100% Average Targeted AUM

Our Business Transition Partners are incentivized to get your business up and running and your clients moved quickly.

Investing in You

We use our strong balance sheet to benefit advisor growth. In 2018, we made significant investments in key growth areas, totaling almost half a billion dollars, to ensure financial professionals thrive—now and in the future.

$125M
Technology

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

$150M
Service & Support

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

$125M
Capital Solutions

Take your business to the next level with capital to transition, lease space, acquire a practice, or otherwise grow your business however you choose.

Data as of 11/18

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 advisor and employee contributions, and coordinate ongoing employee giving and volunteer activities.

[1] Market Strategies International, Cogent Wealth Reports, "Investor Brand Builder™: Maximize Purchase Intent Among Investors and Expand Client Relationships," November 2017.

LPL Financial

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