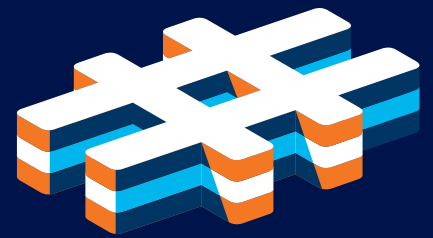


# LPL BY THE NUMBERS



## 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 List<sup>1</sup>



**#1 INDEPENDENT BROKER/DEALER**

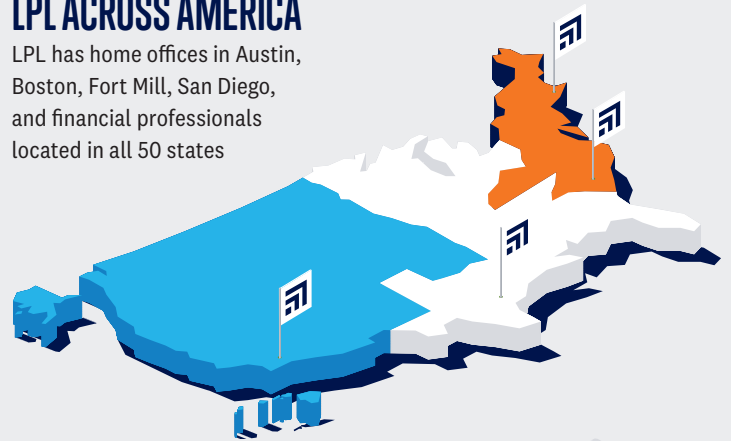
In the United States<sup>2</sup>

**#1 PROVIDER OF** 3rd-party investment services to banks and credit unions<sup>3</sup>

**#3 RIA CUSTODIAN** In the United States<sup>4</sup>

## LPL ACROSS AMERICA

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



## SERVING & PROTECTING YOUR ASSETS

**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



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

**ZERO** **PROPRIETARY LPL PRODUCTS WITH THOUSANDS OF INVESTMENT OPTIONS**

**800** Risk & compliance experts provide guidance and oversight

**100** Cybersecurity experts to keep you and your assets protected



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

<sup>1</sup> 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.

<sup>2</sup> As reported by Financial Planning magazine, June 1996-2021, based on total revenue.

<sup>3</sup> 2020/2021 Kehler Bielan TPM Survey. Based on financial institution market share.

<sup>4</sup> Cerulli Associates, 2020 U.S. RIA Marketplace Report

LPL.COM

 LPL Financial

# LPL BY THE NUMBERS

## ABOUT LPL FINANCIAL:

LPL Financial (Nasdaq: LPLA) was founded on the principle that the firm should work for the advisor, and not the other way around. Today, LPL is a leader in the markets we serve,\* supporting nearly 20,000 financial advisors, and approximately 800 institution-based investment programs and 500 independent RIA firms nationwide. We are steadfast in our commitment to the advisor-centered model and the belief that Americans deserve access to personalized guidance from a financial advisor. At LPL, independence means that advisors have the freedom they deserve to choose the business model, services, and technology resources that allow them to run their perfect practice. And they have the freedom to manage their client relationships, because they know their clients best. Simply put, we take care of our advisors, so they can take care of their clients.

\*Top RIA custodian (Cerulli Associates, 2020 U.S. RIA Marketplace Report); No. 1 Independent Broker-Dealer in the U.S (Based on total revenues, Financial Planning magazine 1996-2021); No. 1 provider of third-party brokerage services to banks and credit unions (2020-2021 Kehrer Bielan Research & Consulting Annual TPM Report); Fortune 500 Company as of June 2021. LPL and its affiliated companies provide financial services only from the United States.



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