LPL FINANCIAL RETIREMENT PARTNERS

FACTS AND FIGURES[1]

more than **7,100** financial professionals with plans

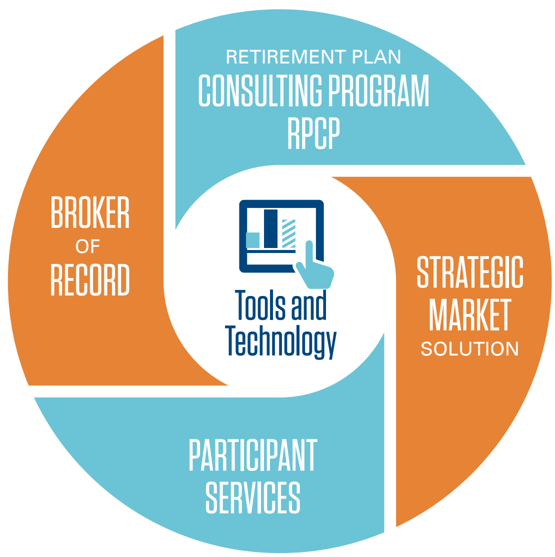
36,443 plans

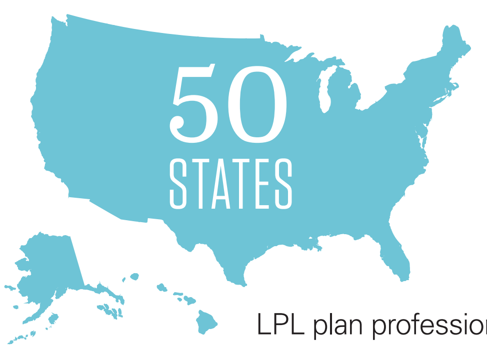
AUA **$134B**

40

Home Office employees dedicated to Retirement Partners

CORE PRODUCTS





LPL plan professionals represented in all 50 states.

49 Financial professionals recognized as *Financial Times* Top 401 Retirement Plan Advisors[2]

17 NAPA Top Women Advisors[3]

22 Awards to financial professionals and financial professional teams in *PLANADVISER* Top 100[4]

10 NAPA Young Guns[5]

[1] All data as of 12/2019 except as noted.
[2] 2019 *Financial Times* Top 401 Retirement Plan Advisors: financial advisors managing at least $75 million in defined contribution (DC) plan assets and for whom DC plans represent at least 20% of total AUM. Selected based on eight broad factors, including DC plan AUM, DC specialization, growth in DC plan assets and number of plans, average participation rate in advised plans, years of experience, industry certifications and compliance record.
[3] 2019 NAPA Top Women Advisors are nominated and voted on by industry peers and selected by a NAPA panel of judges based on information about their practice, experience and accomplishments as provided by nominees.
[4] *PLANADVISER* 2019 Top 100 Retirement Plan Advisers list. Advisors selected solely on quantitative factors, including plan assets and number of plans, as reported directly by nominees.
[5] 2019 NAPA Young Guns are nominated and voted on by industry peers and selected by a NAPA member committee based on business profile and future industry leadership potential.

LPL Financial

LPL CORPORATE SNAPSHOT

As of December 31, 2019

Advisory & Brokerage Assets ($ billions)	$764
Advisory Assets ($ billions)	$366
Financial Professionals	16,464
Employees	4,343

LPL is one of the fastest growing RIA custodians and the nation's largest independent broker dealer*

* Based on total revenues, Financial Planning magazine June 1996-2019.

ABOUT LPL FINANCIAL

LPL Financial is a leader in the retail financial advice market and the nation's largest independent broker-dealer*. We serve independent financial advisors, professionals, and financial institutions, providing them with the technology, research, clearing and compliance services, and practice management programs they need to create and grow thriving practices. LPL enables them to provide objective guidance to millions of American families seeking wealth management, retirement planning, financial planning and asset management solutions.

* As reported by *Financial Planning* magazine, June 1996-2019, based on total revenue.