LPL Financial | Do it smarter.℠

Independent | RIA | Financial Institutions | Insurance | Retirement Plans

Your Smartest Move Yet ...

...for You

Independence is a powerful force for advisors. And by supporting that independence with the resources of the nation's largest independent broker/dealer,* you'll have the chance to enjoy even greater levels of growth. For decades, LPL Financial has helped our advisor partners establish competitive, independent practices. In fact, supporting your practice is our only business, and is at the very heart of everything we do.

A breadth of business models to support your goals

As an advisor with LPL Financial you define your independent practice. Our role is simply to help you serve your clients more effectively and achieve the success you envision. Our universal platform supports your ideal business model with room to grow. We support advisors across a broad spectrum from those RIAs who custody their assets with us, to Hybrid RIA advisors to financial planning advisors or retirement plan specialists. One size does not fit all and at LPL Financial you have a choice.

Comprehensive clearing and compliance services

LPL Financial serves as custodian and processor for all trades, providing expedited processing capabilities and an enhanced client experience. All backed by a robust and responsive service center and a dedicated team of compliance analysts who review marketing and sales materials and provide hands-on audit and supervisory assistance.

Technology solutions to make your business more efficient

We have a proven commitment to capital investment in industry-leading hardware, software, and web-based applications. This includes a fully integrated suite of premium tools, including our rebalancing and financial planning software. Now more than ever, better technology translates to better productivity.

...for Your Clients

Our open product architecture and innovative fee-based programs, coupled with our research, provides our advisors with the tools and flexibility they need to develop investment programs best suited for their clients.

Objective research at your fingertips

We boast one of the top research teams in the industry. Our experienced team provides objective information, saving our advisors time and helping them make informed investment decisions. Our team recommends tactical and strategic asset allocation positioning and investment vehicle usage; supports all investment platforms with recommendations, analytics, and ongoing due diligence; and provides informational pieces and campaigns to help you better understand investment vehicles, markets, and portfolio performance.

...for Your Business

At LPL Financial, you are independent, but never alone.

Professional business analysis and consulting services to support your growth

Our experienced business consultants and focused educational events are aimed to help you build a productive and profitable practice. Your team will have access to comprehensive on-line training programs as well as our various regional business development events.

Branding and marketing to help you differentiate your practice

Designed to make the transition to LPL Financial even smoother, our marketing programs prepare you with services like brand identity development, website design and launch, and public relations. Additionally, we provide ongoing support to source new business, convert prospects to clients, and retain your existing clients.

When you're ready to take your business to the next level

LPL Financial makes it possible for you to offer the opportunity of independence to other advisors without having to establish a new office. Our In-Branch Recruiting program will help you position your practice, so highly qualified prospects can discover what it means to join your elite independent practice backed by the full support of LPL Financial.

CONTACT: Bill Morrissey – Executive Vice President, Business Development
9785 Towne Centre Dr., San Diego, CA 92121 | 888.250.2420 | www.joinlpl.com

As reported by Financial Planning magazine, June 1996-2011, based on total revenue.