



LPL Financial Welcomes Additional Top Firms and Advisors From NPH

Dec 18, 2017

CHARLOTTE, N.C., Dec. 18, 2017 (GLOBE NEWSWIRE) -- Leading retail investment advisory firm and independent broker/dealer [LPL Financial](#) LLC, a wholly owned subsidiary of LPL Financial Holdings Inc. (NASDAQ:LPLA), today announced the names of additional select top firms and advisors from National Planning Holdings, Inc. (NPH)—those from Investment Centers of America, Inc. and National Planning Corporation—that chose to join LPL. Each firm or advisor reported, based on prior business*, having served more than \$100 million of client brokerage and advisory assets.

Firms or advisors and their approximate respective assets served*, as of a recent date prior to joining LPL, include:

\$100-499M

- Allegiance Financial Group
- Anchor Certified Planners Group
- Anderson Wealth Planning
- Austin Bank
- AWA Wealth Management
- Bank of Cairo and Moberly
- Bank of Colorado — Durango
- Bank of Stockton
- BFM Wealth Management
- Bold Financial Group
- Border State Bank — Roseau
- Brinker Financial Group
- Buddy Campbell and Associates
- Cecil/Eady Investments
- Citizens First Bank — Viroqua
- Comprehensive Financial Professionals LLC
- Daszkowski Wealth Management LLC
- Decorah Bank and Trust Company
- Dennis Stephen Associates Ltd.
- Dickinson Investment Center
- Dovetail Wealth Management
- Financial Celebrations
- Financial Planning Resources Inc.
- Fiorio Wealth Advisors
- First Community Bank
- First International Bank
- First State Bank 4
- Frandsen Bank & Trust
- Future Planning Systems
- Grabill Financial
- Graunke & Hentz Wealth Management LLC
- GSH Asset Management
- Heald Financial Advisors
- I Wealth
- Investment Centers — Bottineau
- Investment Centers of America — Hudson
- iRetire Financial by Huck Financial LLC
- Janell Israel & Associates
- John Cecil — Texas Bank
- John Linge
- Kiran Dave
- Krueger Financial Services Inc.
- Landis Financial Advisors
- Lexco Wealth Management
- Monday Lemman Financial Services
- National Tax and Financial Network
- Ogden Investment Center
- Oklahoma State Bank

- Prairie Plans
- Preferred Resource Group
- Randy Schmidt
- Reinke Gray Wealth Management
- Resource One Advisors
- Robert Gunderson
- Robert K. Calkins, Financial Planning
- Robertson Das Socially Responsible Investing
- Securus Financial Group Inc.
- Southwest Investment Advisors
- Speakman Financial Group
- Stevens Rich PLLC
- Steve Sterling
- Stout Payne Waner
- Strategic Advisors Network
- Strong Financial Network
- Teller Financial Services Inc.
- The Creative Planners Group Ltd.
- The Retirement Network
- Tschider Financial Planning
- Wealth Advisory Services
- Western State Bank
- Whitefish Investment Center

Additional top-producing NPH firms—those that reported serving more than \$500 million of client assets*—were [announced](#) previously.

NPH assets were purchased by LPL as part of a previously announced transaction in August 2017.

*Each firm's or advisor's asset number represents the aggregate asset numbers reported by the advisor, or in the case of firms, by advisors to their respective firms, are based on prior business, include both brokerage and advisory assets, and have not been independently and fully verified by LPL Financial.

The information in this press release is not intended to update or change any of the information, including information about recruiting results, previously publicly disclosed by LPL Financial.

About LPL Financial

LPL Financial LLC, a wholly owned subsidiary of LPL Financial Holdings Inc. (NASDAQ:LPLA), is a leader in the retail financial advice market and provided service to approximately \$566 billion in brokerage and advisory assets as of Oct. 31, 2017. 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 1996-2017), and the firm and its financial advisors were ranked No. 1 in net customer loyalty in a 2016 Cogent Reports™ study. The Company provides proprietary technology, comprehensive clearing and compliance services, practice management programs and training, and independent research to more than 14,000 financial advisors and over 700 financial institutions, enabling them to provide a range of financial services including wealth management, retirement planning, financial planning and other investment services to help their clients turn life's aspirations into financial realities. As of Sept. 30, 2017, financial advisors associated with LPL served more than 4 million client accounts across the U.S. as well as an estimated 41,000 retirement plans with an estimated \$137 billion in retirement plan assets. Additionally, LPL supports approximately 3,700 financial advisors licensed and affiliated with insurance companies with customized clearing, advisory platforms, and technology solutions. LPL Financial and its affiliates have more than 3,500 employees with primary offices in Boston, Charlotte, and San Diego. For more information, visit www.lpl.com.

Securities and Advisory Services offered through LPL Financial. A registered investment advisor, Member FINRA/SIPC.

LPL Financial and each of the firms listed are separate entities.

Forward-Looking Statements

Statements in this press release regarding the Company's future levels of assets serviced, growth, business strategy, and plans, as well as any other statements that are not related to present facts or current conditions or that are not purely historical, constitute forward-looking statements. These forward-looking statements are based on the Company's historical performance and its plans, estimates and expectations as of Dec. 18, 2017. The words "believes," "expects," "may," "plans," "will" and similar expressions are intended to identify forward-looking statements, although not all forward-looking statements contain these identifying words. Forward-looking statements are not guarantees that the future results, plans, intentions or expectations expressed or implied by the Company will be achieved. Matters subject to forward-looking statements involve known and unknown risks and uncertainties, including economic, legislative, regulatory, competitive and other factors, which may cause levels of assets serviced, actual financial or operating results, levels of activity, or the timing of events, to be materially different than those expressed or implied by forward-looking statements. In particular, the Company can provide no assurance that the assets reported as serviced by financial advisors and/or firms mentioned in this press release will translate into assets continuously serviced at LPL Financial or that such financial advisors and/or firms will remain at LPL Financial. Important factors that could cause or

contribute to such differences include: the choice by one or any of the clients of the Company's newly recruited financial advisors and/or firms mentioned in this press release not to maintain brokerage and/or advisory accounts at LPL Financial; discovery of errors made in the calculation of assets serviced reported by the newly recruited advisors; changes in general economic and financial market conditions, including retail investor sentiment; fluctuations in the value of assets under custody; effects of competition in the financial services industry; and the other factors set forth in Part I, "Item 1A. Risk Factors" in the Company's 2016 Annual Report on Form 10-K and any subsequent SEC filing. Except as required by law, the Company specifically disclaims any obligation to update any forward-looking statements as a result of developments occurring after the date of this press release, even if its estimates change, and you should not rely on those statements as representing the Company's views as of any date subsequent to Dec. 18, 2017.

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