# LPL Financial Holdings Inc. - Historical Monthly Activity Through October 2026

LPL Financial

As of October 31, 2026

| (End of period $ in billions, unless noted) | Oct 2026 | Sep 2026 | Aug 2026 | Jul 2026 | Jun 2026 | May 2026 | Apr 2026 | Mar 2026 | Feb 2026 | Jan 2026 | Dec 2025 | Nov 2025 | Oct 2025 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| ***Client Assets***[1] | | | | | | | | | | | | | |
| Advisory | 1,559.0 | 1,561.0 | 1,582.5 | 1,544.2 | 1,548.4 | 1,537.3 | 1,482.7 | 1,390.4 | 1,441.6 | 1,422.7 | 1,392.7 | 1,385.9 | 1,374.4 |
| Brokerage | 1,001.9 | 1,003.6 | 1,019.4 | 1,002.4 | 1,014.3 | 1,017.3 | 995.0 | 945.9 | 989.3 | 985.8 | 977.9 | 977.6 | 976.8 |
| **Total Client Assets** | **2,560.9** | **2,564.6** | **2,601.9** | **2,546.6** | **2,562.7** | **2,554.6** | **2,477.7** | **2,336.3** | **2,430.8** | **2,408.5** | **2,370.5** | **2,363.6** | **2,351.1** |
| ***Organic Net New Assets ("NNA")***[2][3] | | | | | | | | | | | | | |
| Advisory[4] | 8.2 | 10.4 | 12.5 | 10.2 | 13.3 | 11.0 | 6.0 | 9.7 | 10.0 | 6.1 | 10.2 | 8.3 | 9.2 |
| Brokerage | (1.2) | (2.2) | 0.9 | (2.8) | (2.0) | (2.2) | (3.0) | (1.6) | (0.9) | (2.0) | (1.6) | (1.7) | (2.0) |
| **Total Organic NNA** | **7.0** | **8.2** | **13.5** | **7.4** | **11.3** | **8.8** | **3.1** | **8.1** | **9.1** | **4.2** | **8.6** | **6.7** | **7.3** |
| ***Acquired NNA*** | | | | | | | | | | | | | |
| Advisory | 0.0 | 0.0 | 0.0 | 0.0 | 0.5 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| Brokerage | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 2.0 | 0.0 | 0.0 |
| **Total Acquired NNA** | **0.0** | **0.0** | **0.0** | **0.0** | **0.5** | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** | **2.0** | **0.0** | **0.0** |
| ***Total NNA***[5] | | | | | | | | | | | | | |
| Advisory | 8.2 | 10.4 | 12.5 | 10.2 | 13.8 | 11.0 | 6.0 | 9.7 | 10.0 | 6.1 | 10.2 | 8.3 | 9.2 |
| Brokerage | (1.2) | (2.2) | 0.9 | (2.8) | (2.0) | (2.2) | (3.0) | (1.6) | (0.9) | (2.0) | 0.4 | (1.7) | (2.0) |
| **Total NNA** | **7.0** | **8.2** | **13.5** | **7.4** | **11.8** | **8.8** | **3.1** | **8.1** | **9.1** | **4.2** | **10.6** | **6.7** | **7.3** |
| Net brokerage to advisory conversions[6] | 2.5 | 2.5 | 2.3 | 2.6 | 3.1 | 2.8 | 2.9 | 2.9 | 2.8 | 2.7 | 2.6 | 2.3 | 2.8 |
| ***Client Cash Balances*** | | | | | | | | | | | | | |
| Insured cash account sweep | 37.3 | 37.8 | 37.1 | 36.8 | 38.4 | 37.0 | 37.6 | 39.8 | 37.8 | 38.2 | 41.0 | 36.9 | 36.4 |
| Deposit cash account sweep | 15.6 | 16.0 | 15.1 | 15.0 | 15.6 | 14.8 | 14.7 | 15.9 | 14.6 | 14.2 | 15.3 | 13.6 | 12.8 |
| **Total Bank Sweep** | **52.9** | **53.8** | **52.2** | **51.8** | **54.1** | **51.9** | **52.3** | **55.7** | **52.4** | **52.4** | **56.3** | **50.5** | **49.2** |
| Money market sweep[7] | 0.9 | 1.0 | 1.0 | 1.1 | 1.1 | 1.2 | 1.3 | 1.5 | 1.8 | 2.2 | 2.5 | 2.4 | 4.1 |
| **Total Client Cash Sweep Held by Third Parties** | **53.8** | **54.8** | **53.1** | **52.8** | **55.2** | **53.1** | **53.6** | **57.2** | **54.2** | **54.6** | **58.8** | **53.0** | **53.2** |
| Client cash account | 2.1 | 1.8 | 1.2 | 1.5 | 1.7 | 1.8 | 1.9 | 2.0 | 1.6 | 1.9 | 2.2 | 1.6 | 1.6 |
| **Total Client Cash Balances** | **55.9** | **56.6** | **54.4** | **54.3** | **56.9** | **54.8** | **55.5** | **59.1** | **55.9** | **56.5** | **61.0** | **54.6** | **54.9** |
| Net buy (sell) activity[8] | 12.6 | 13.3 | 13.8 | 14.7 | 13.1 | 13.7 | 12.9 | 12.7 | 16.6 | 13.8 | 13.3 | 12.9 | 14.3 |
| ***Market Drivers*** | | | | | | | | | | | | | |
| S&P 500 Index (end of period) | 7,580 | 7,652 | 7,686 | 7,490 | 7,499 | 7,580 | 7,209 | 6,529 | 6,879 | 6,939 | 6,846 | 6,849 | 6,840 |
| Russell 2000 Index (end of period) | 2,812 | 2,797 | 2,956 | 2,931 | 3,024 | 2,919 | 2,800 | 2,496 | 2,632 | 2,614 | 2,482 | 2,500 | 2,479 |
| Fed Funds daily effective rate (average bps) | 388 | 375 | 363 | 363 | 363 | 363 | 364 | 364 | 364 | 364 | 373 | 388 | 408 |

(1) Consists of total client assets under custody at the Company's primary broker-dealer subsidiary, LPL Financial LLC ("LPL Financial"), as well as assets under custody of third-party custodians related to certain of the Company's subsidiaries, Commonwealth Financial Network's ("Commonwealth") broker-dealer subsidiary and Atria Wealth Solutions, Inc.'s ("Atria") introducing broker-dealer subsidiaries.

(2) Total organic net new assets includes organic net new assets from institutions for the periods presented below:

| ***Organic NNA from Large Institutions*** | Oct 2026 | Sep 2026 | Aug 2026 | Jul 2026 | Jun 2026 | May 2026 | Apr 2026 | Mar 2026 | Feb 2026 | Jan 2026 | Dec 2025 | Nov 2025 | Oct 2025 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Advisory | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| Brokerage | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.1 | 0.7 |
| **Total Organic NNA from Large Institutions** | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** | **0.1** | **0.7** |

(3) Organic net new assets include assets that off-boarded as part of the previously disclosed planned separation from misaligned large OSJs. There were $0.5B, $0.3B and $0.2B of assets that off-boarded in October, November and December 2025, respectively.

(4) For October 2025, organic net new advisory assets include $0.1B of assets that off-boarded as part of the previously disclosed planned separation from misaligned large OSJs.

(5) Consists of total client deposits into advisory or brokerage accounts less total client withdrawals from advisory or brokerage accounts, plus dividends, plus interest, minus advisory fees. The Company considers conversions from and to brokerage or advisory accounts as deposits and withdrawals, respectively.

(6) Consists of existing custodied and direct assets that converted from brokerage to advisory, less existing custodied assets that converted from advisory to brokerage.

(7) In November 2025 and February 2026, $1.6B and $0.5B of sweep money market funds were converted to purchased money market funds, respectively.

(8) Represents the amount of securities purchased less the amount of securities sold in client accounts custodied with LPL Financial.

Note: Totals may not foot due to rounding.