LPL Financial

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LPL Financial Bestows "Top Partners" Awards For 2013 At Its Sixth Annual Sponsor Forum

Annual Event Honors Financial Sponsor Firms Providing Best Support for LPL Advisors

Boston, MA - November 1, 2013 - LPL Financial LLC, the nation's largest independent broker-dealer, an RIA custodian, and a wholly owned subsidiary of LPL Financial Holdings Inc. (NASDAQ: LPLA), has announced its "Top Partners" awards for 2013. The awards were given at The Annual LPL Financial Sponsor Forum to eleven firms that have provided outstanding support to LPL Financial advisors.

Now in its sixth year, the Sponsor Forum brings together LPL's leading product partners to share its strategic vision and plans for the coming year, in relation to partnership opportunities in support of LPL's more than13,500 financial advisors. The forum also shines a light on the asset managers and insurance companies that were LPL's most noteworthy partners during the current year.

The theme of this year's event, which was held at the Parker House in Boston, MA, was, "The Future of Partnership." LPL senior management detailed the strategic direction of the firm during an afternoon session and the awards were given following an evening dinner.

LPL executives in attendance included Mark Casady, Chairman & CEO; Dan Arnold, Chief Financial Officer; Victor Fetter, Managing Director and Chief Information Officer; Joan Khoury, Managing Director and Chief Marketing Officer; and Burt White, Managing Director and Chief Investment Officer. Mr. Arnold opened the forum with a presentation on LPL's vision for the future, working together with essential business partners. This was followed by a presentation by Mr. Fetter on the role of technology in LPL's partnership relations, and by a speech by Ms. Khoury on the potential of social media in support of these relationships.

"We're fortunate to be working with partner firms that regularly go above and beyond in terms of the quality of products and level of service they deliver, to LPL Financial and to our entire advisor network of more than13,500 advisors," noted Brad Cornell, LPL Financial Senior Vice President of Sponsor Relations. "The relations we have forged with our essential business partners provide our financial advisors with an amazingly valuable and abundant resource. All the partners here at our annual Sponsor Forum are critical to helping LPL meet the expectations of our advisors in 2014 and beyond."

Awards and honorees for 2013 included the following:

- **Mutual Funds - Account Manager of the Year**: Kevin Healy, Oppenheimer Funds
- **Annuities - Account Manager of the Year**: Lynda Lee, SunAmerica
- **Alternative Investments - Account Manager of the Year**: Christine Petersen, Cole Capital
- **Retirement - Account Manager of the Year**: Angela Achatz, Ivy Funds
- **Retirement Partner of the Year**: Ascensus
- **Sales Partner Firm of the Year**: Franklin Square
- **Marketing Partner of the Year**: SunAmerica
- **Innovator of the Year**: Lincoln Financial
- **New Product of the Year**: Central Park Group
- **Insurance Partner of the Year**: Prudential
- **Sponsor of the Year**: Oppenheimer

About LPL Financial

LPL Financial, a wholly owned subsidiary of LPL Financial Holdings Inc. (NASDAQ: LPLA), is the nation's largest independent broker-dealer (based on total revenues, Financial Planning magazine, June 1996-2013), an RIA custodian, and an independent consultant to retirement plans. LPL Financial offers proprietary technology, comprehensive clearing and compliance services, practice management programs and training, and independent research to more than 13,500 financial advisors and approximately 700 financial institutions. In addition, LPL Financial supports more than 4,500 financial advisors licensed with insurance companies by providing customized clearing, advisory platforms and technology solutions. LPL Financial and its affiliates have approximately 3,000 employees with primary offices in Boston, Charlotte, and San Diego. For more information, please visit www.lpl.com.

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