

1.) CORPORATION NAME:

LPL Financial Corporation

DUE DATE: **10/29/2010**

SCC ID NO: **F0395204**

2.) VA REGISTERED AGENT NAME AND OFFICE ADDRESS: **B.E.**

AUTH IN VI

CT CORPORATION SYSTEM

4701 COX RD STE 301

GLEN ALLEN, VA 23060-6802

5.) STOCK INFORMATION

CLASS	AUTHORIZED
COMMON	7,500

3.) CITY OR COUNTY OF VA REGISTERED OFFICE:

HENRICO COUNTY

4.) STATE OR COUNTRY OF INCORPORATION:

CA

6.) PRINCIPAL OFFICE ADDRESS:

ADDRESS: 9785 TOWNE CENTRE DR

CITY/ST/ZIP: SAN DIEGO, CA 92121-

7.) DIRECTORS AND PRINCIPAL OFFICERS: All directors and principal officers must be listed. An individual may be designated as both a director and an officer.

NAME: ESTHER STEARNS
TITLE: PRESIDENT
ADDRESS: 9785 TOWNE CENTRE DRIVE
CITY/ST/ZIP/CO: SAN DIEGO, CA 92121-

OFFICER

DIRECTOR

NAME: STEPHANIE L. BROWN
TITLE: MANG DIR/SECR
ADDRESS: 99 REVERE ST
CITY/ST/ZIP/CO: BOSTON, MA 02114-

OFFICER

DIRECTOR

NAME: ROBERT MOORE
TITLE: CFO/T
ADDRESS: 9785 TOWNE CENTRE DRIVE
CITY/ST/ZIP/CO: SAN DIEGO, CA 92121-

OFFICER

DIRECTOR

NAME: MARK S CASADY
TITLE: DIRECTOR
ADDRESS: ONE BACON ST 22ND FL
CITY/ST/ZIP/CO: BOSTON, MA 02108-

OFFICER

DIRECTOR

I AFFIRM THAT THE INFORMATION CONTAINED IN THIS ELECTRONIC REPORT IS ACCURATE AND COMPLETE AS OF THE DATE BELOW AND THAT I AM LEGALLY AUTHORIZED TO SIGN THIS REPORT.

/s/ STEPHANIE L. BROWN
SIGNATURE OF DIRECTOR/OFFICER
LISTED IN THIS REPORT

STEPHANIE L. BROWN, MANG
DIR/SECR
PRINTED NAME AND CORPORATE
TITLE

9/22/2010
DATE

It is a Class 1 misdemeanor for any person to sign a document, which includes this electronic record, that is false in any material respect with the intent that the document be delivered to the Commission for filing.