

10/30/23, 3:01 PMDivision of Corporations

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Florida Department of State
Division of Corporations
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To:
Division of Corporations
Fax Number : (850)617-6383

From:
Account Name : C I CORPORATION SYSTEM
Account Number : FCA000000023
Phone : (954)208-0345
Fax Number : (614)573-3996

Enter the email address for this business entity to be used for future annual report mailings. Enter only one email address please.

Email Address: colleen.albert@lplfinancial.com

FOREIGN PROFIT/NONPROFIT CORPORATION
LPL Holdings, Inc.

Certificate of Status	0
Certified Copy	0
Page Count	06
Estimated Charge	\$70.00

OCT 31 2023
K. Brumblay

APPLICATION BY FOREIGN CORPORATION FOR AUTHORIZATION TO TRANSACT BUSINESS IN FLORIDA

*IN COMPLIANCE WITH SECTION 607.1503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO
REGISTER A FOREIGN CORPORATION TO TRANSACT BUSINESS IN THE STATE OF FLORIDA.*

1. LPL Holdings, Inc.

(Enter name of corporation; must include "INCORPORATED," "COMPANY," "CORPORATION,"
"Inc.," "Co.," "Corp.," "Inc.," "Co.," or "Corp.")

(If name unavailable in Florida, enter alternate corporate name adopted for the purpose of transacting business in Florida)

2. Massachusetts

(State or country under the law of which it is incorporated)

3. 04-3056611

(FEI number, if applicable)

4. 03/13/1989

(Date of incorporation)

5. Perpetual

(Date of duration, if other than perpetual)

6. Upon Qualification

(Date first transacted business in Florida, if prior to registration)
(SEE SECTIONS 607.1501 & 607.1502, F.S., to determine penalty liability)

7. 4707 Executive Drive, San Diego, CA 92121

(Principal office street address)

same

(Current mailing address, if different)

8. Name and street address of Florida registered agent: (P.O. Box NOT acceptable)

Name: C T Corporation System

Office Address: 1300 South Pine Island Road

Plantation

(City)

Florida 33324

(Zip code)

9. Registered agent's acceptance:

Having been named as registered agent and to accept service of process for the above stated corporation at the place designated in this application, I hereby accept the appointment as registered agent and agree to act in this capacity. I further agree to comply with the provisions of all statutes relative to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent.

C T Corporation System

By: Sherry McGinnis

(Registered agent's signature)

10. Attached is a certificate of existence duly authenticated, not more than 90 days prior to delivery of this application to the Department of State, by the Secretary of State or other official having custody of corporate records in the jurisdiction under the law of which it is incorporated.

11. For initial indexing purposes, list names, titles and addresses of the primary officers and/or directors [up to six (6) total]:

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 APPROVAL

A. DIRECTORS☐ Chairman Name: Dan H. Arnold☐ Vice Chairman Address: 4707 Executive Drive☒ Director San Diego, CA 92121☐ President _____☐ Vice President _____☐ Secretary ☐ Treasurer☒ Other CEO ☐ Other _____☐ Chairman Name: H. Paulett Eberhart☐ Vice Chairman Address: 4707 Executive Drive☒ Director San Diego, CA 92121☐ President _____☐ Vice President _____☐ Secretary ☐ Treasurer☐ Other _____ ☐ Other _____☐ Chairman Name: Allison Mrookin☐ Vice Chairman Address: 1707 Executive Drive☒ Director San Diego, CA 92121☐ President _____☐ Vice President _____☐ Secretary ☐ Treasurer☐ Other _____ ☐ Other _____☐ Chairman Name: William F. Glavin, Jr.☐ Vice Chairman Address: 4707 Executive Drive☒ Director San Diego, CA 92121☐ President _____☐ Vice President _____☐ Secretary ☐ Treasurer☐ Other _____ ☐ Other _____☐ Chairman Name: Edward C. Bernard☐ Vice Chairman Address: 4707 Executive Drive☒ Director San Diego, CA 92121☐ President _____☐ Vice President _____☐ Secretary ☐ Treasurer☐ Other _____ ☐ Other _____☐ Chairman Name: Albert J. Ko☐ Vice Chairman Address: 4707 Executive Drive☒ Director San Diego, CA 92121☐ President _____☐ Vice President _____☐ Secretary ☐ Treasurer☐ Other _____ ☐ Other _____**SEE ATTACHMENT**

Important Notice: Use an attachment to report more than six (6). The attachment will be imaged for reporting purposes only. Non-indexed individuals may be added to the index when filing your Florida Department of State Annual Report form.

12. [Signature] _____
Signature of Director or Officer

The officer or director signing this document (and who is listed in number 11 above) affirms that the facts stated herein are true and that he or she is aware that false information submitted in a document to the Department of State constitutes a third degree felony as provided for in §817.155, F.S.

13. Robert S. Hatfield III, Assistant Secretary
(Typed or printed name and capacity of person signing application)

**Attachment to Florida
Officers & Directors**

- 1 Full Name: Anne Mulcahy
Officer/Director: Director
Officer's Title:
Director's Title:
Business Address: 4707 Executive Drive
City: San Diego
State: CA
ZIP Code: 92121
- 2 Full Name: Jim Putnam
Officer/Director: Director
Officer's Title: Chairman
Director's Title:
Business Address: 4707 Executive Drive
City: San Diego
State: CA
ZIP Code: 92121
- 3 Full Name: Richard P. Schifter
Officer/Director: Director
Officer's Title:
Director's Title:
Business Address: 4707 Executive Drive
City: San Diego CA
State: 92121
ZIP Code:
- 4 Full Name: Corey Thomas
Officer/Director: Director
Officer's Title:
Director's Title: 4707 Executive Drive
Business Address: San Diego
City:
State: CA
ZIP Code: 92121

**Attachment to Florida
Officers & Directors**

- 1 Full Name: Matt Audette
Officer/Director: Officer
Officer's Title: CFO
Director's Title:
Business Address: 4707 Executive Drive
City: San Diego
State: CA
ZIP Code: 92121
- 2 Full Name: Brent Simonich
Officer/Director: Officer
Officer's Title: Vice President
Director's Title:
Business Address: 4707 Executive Drive
City: San Diego
State: CA
ZIP Code: 92121
- 3 Full Name: Greg Woods
Officer/Director: Officer
Officer's Title: Secretary
Director's Title:
Business Address: 4707 Executive Drive
City: San Diego CA
State: 92121
ZIP Code: Robert S. Hatfield III
- 4 Full Name: Officer
Officer/Director: Assistant Secretary
Officer's Title:
Director's Title: 4707 Executive Drive
Business Address: San Diego
City: CA
State: 92121
ZIP Code:

Additional Officers (address same as above)

Brett Goodman, Treasurer

Dirk Wycoff, Assistant Treasurer



William Francis Galvin
Secretary of the
Commonwealth

The Commonwealth of Massachusetts
Secretary of the Commonwealth
State House, Boston, Massachusetts 02133

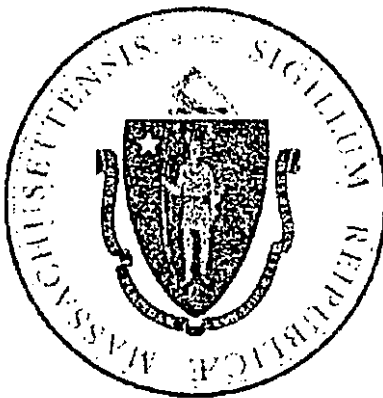
Date: October 26, 2023

To Whom It May Concern:

I hereby certify that according to the records of this office,

LPL HOLDINGS, INC.

is a domestic corporation organized on **March 13, 1989** under the General Laws of the Commonwealth of Massachusetts. I further certify that there are no proceedings presently pending under the Massachusetts General Laws Chapter 156D section 14.21 for said corporation's dissolution; that articles of dissolution have not been filed by said corporation; that, said corporation has filed all annual reports, and paid all fees with respect to such reports, and so far as appears of record said corporation has legal existence and is in good standing with this office.



In testimony of which,

I have hereunto affixed the
Great Seal of the Commonwealth
on the date first above written.

William Francis Galvin

Secretary of the Commonwealth

Certificate Number: 23100-93970

Verify this Certificate at: <http://corp.sec.state.ma.us/CorpWeb/Certificates/Verify.aspx>

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