

Commonwealth of Kentucky
Michael G. Adams, Secretary of State

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Michael G. Adams
KY Secretary of State
Received and Filed

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Fee receipt: \$370.00

Michael G. Adams
Secretary of State
P. O. Box 718
Frankfort, KY 40602-0718
(502) 564-3490
<http://www.sos.ky.gov>

Certificate of Authority

RCA

Pursuant to the provisions of KRS 14A.9 - 030 the undersigned hereby applies for authority to transact business in Kentucky on behalf of the entity named below and, for that purpose, submits the following statements.

1. The business entity is a limited liability company.
2. The name of the entity is: LPL FINANCIAL LLC
3. The name of the entity to be used in Kentucky is (if applicable):
4. It is an entity organized and existing under the laws of the state of California.
5. The date of organization is 11/15/2010 and the period of duration is perpetual

Principal Office

4707 EXECUTIVE DRIVE
SAN DIEGO, CA 92121

Registered Agent Name/Address

CT Corporation System
306 W. Main Street, Suite 512
Frankfort, KY 40601

Members/Managers

Manager	Matthew J. Audette	4707 Executive Drive San Diego, CA 92121
Manager	Matthew Enyedi	4707 Executive Drive San Diego, CA 92121
Manager	Dan H. Arnold	4707 Executive Drive San Diego, CA 92121

6. Robert S. Hatfield III, Senior Vice President - Associate General Counsel - Corporate Legal and Assistant Secretary, on 2/21/2024

7. I, CT Corporation System, consent to serve as the registered agent on behalf of the this entity on 2/21/2024