

ESG STEERING COMMITTEE CHARTER

Environmental Social and Governance Steering Committee Charter Purpose:

The Environmental, Social, and Governance Steering Committee (“ESG Committee”) purpose is to support LPL Financial’s on-going commitment to environmental, corporate social responsibility, and corporate governance. The ESG Steering Committee is a cross-functional management committee of the Firm. It will assist the Senior Executive Leadership Team of the Company in (a) setting general strategy relating to ESG, (b) developing, implementing, and monitoring initiatives and policies based on that strategy, (c) overseeing communications with employees, investors and stakeholders with respect to ESG, and (d) monitoring and assessing developments relating to, and improving LPL’s understanding of ESG.

Duties and Responsibilities:

The duties and responsibilities of the ESG Steering Committee shall be as follows:

- a. Assist in setting the Firm’s general strategy with respect to ESG, and to consider and recommend policies, practices, and disclosures that conform with the strategy;
- b. To oversee the Firm’s reporting and disclosure with respect to ESG;
- c. To assist in overseeing internal and external communications regarding the Firm’s position or approach to ESG;
- d. To consider current and emerging ESG trends that may affect the business, operations, performance or public image of LPL or are otherwise pertinent to the Firm and its stakeholders, and to make recommendations on how LPL’s policies, practices and disclosures can adjust to or address these current trends;
- e. To put systems in place, as deemed necessary and appropriate, to monitor ESG;
- f. To review and assess internal ESG KPIs annually and recommend any proposed changes for approval; and
- i. To perform such other duties, tasks, and responsibilities relevant to the purpose of the ESG Committee as may from time to time be requested.

Meetings:

The committee shall meet quarterly and on occasion as deemed necessary or appropriate.

Committee Members:

The ESG Committee will include associates that the chair deems appropriate, taking into account such employee’s expertise in relevant and varied disciplines, including environmental, operations, sustainable investing, legal, investor relations, government affairs, corporate governance, and human capital. Initial committee members are as follow:

- Executive Vice President and Chief Marketing and Communication Officer – Chair
- Executive Vice President, General Counsel – Corporate Legal
- Senior Vice President, Supply Chain/Procurement
- Senior Vice President of Investor Relations

- Senior Vice President Community Relations, Employee DEI
- Senior Vice President of Employee Brand Management and Chief Diversity Officer
- Senior Vice President, Employee Relations, Risk & Compliance
- Senior Vice President, Product Management
- Vice President of Facilities
- Vice President of Research/Sustainable Investing
- Vice President of ESG