

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 Sustainability and ESG reporting, (b) developing, implementing, and monitoring initiatives and policies based on that strategy, (c) overseeing communications with employees, investors and stakeholders with respect to Sustainability, and (d) monitoring and assessing developments relating to, and improving LPL’s understanding of Sustainability.

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 sustainability, 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 sustainability;
- d. To consider current and emerging sustainability 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 sustainability practices and ESG reporting;
- f. To review and assess internal ESG KPIs annually and recommend any proposed changes for approval; and
- g. 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 Steering Committee will include associates that the chair deems appropriate, taking into account the employee’s expertise in relevant and varied disciplines, including environmental, operations, sustainable investing, legal matters, investor relations, government affairs, procurement, and human relations.

Committee members are as follows:

- Head of Sustainability – Chair
- Executive Vice President, Corporate Development | Treasury | Investor Relations
- Senior Vice President, Investor Relations
- Senior Vice President, Controller
- Senior Vice President, Associate General Counsel
- Senior Vice President, Benefits
- Senior Vice President, Client Communities
- Senior Vice President, Culture and Inclusion Officer
- Senior Vice President, Research
- Senior Vice President, Corporate Real Estate
- Senior Vice President, Head of Financial Reporting and Accounting
- Vice President, Sustainability
- Vice President, Assistant General Counsel
- Vice President, Sourcing and Procurement
- Senior Policy Director