



**State of Rhode Island and Providence Plantations
Office of the Secretary of State**

Fee: \$50.00

Division Of Business Services
148 W. River Street
Providence RI 02904-2615
(401) 222-3040

**Foreign Limited Liability Company
Amendment to Application for Registration**

(Section 7-16-52 of the General Laws of Rhode Island, 1956, as amended)

ARTICLE I

The name of the limited liability company is LPL Financial LLC

If the company's name is changing, state the new name: LPL FINANCIAL LLC

If the company is changing its elected name in the State of Rhode Island, state the new name:

ARTICLE II

The statements in the application for registration were inaccurate when made or a change has occurred as follows, including, if applicable, a change made in Article I:

If the company duration is changing, so state: ☒ Perpetual ☐

If the address of the principal office of the limited liability company is changing, so state:

No. and Street: 4707 EXECUTIVE DRIVE

City or Town: SAN DIEGO

State: CA

Zip: 92121

Country: USA

If the mailing address of the limited liability company is changing, so state:

No. and Street: 75 STATE STREET, 22ND FLOOR

City or Town: BOSTON

State: CA

Zip: 92121

Country: USA

If the management of the limited liability company is changing, modify the following section:

☐ Members or ☒ Managers (check one)

The name and address of each manager (If LLC is managed by Members, DO NOT complete this section):

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
MANAGER	MARK S CASADY	75 STATE STREET, 22ND FLOOR BOSTON, MA 02109 USA
MANAGER	DAVID P BERGERS	75 STATE STREET, 22ND FLOOR BOSTON, MA 02109 USA
MANAGER	DAN H ARNOLD	4707 EXECUTIVE DRIVE SAN DIEGO, CA 92121 USA

The date this Amendment to Application for Registration is to become effective, not prior to, nor more than 30 days after the filing of this Amendment to Application for Registration.

Later Effective Date:

This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the company, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-16.

Signed this 12 Day of October, 2016 at 1:03:54 PM by the Authorized Person.

DAVID P BERGERS

LPL Financial LLC

Form No. 451
Revised 09/07

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