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Subject: Economic Development Ribbon Cutting: LPL Financial
Location: LPL Financial, 1410 Highway 160 West, Fort Mill, S.C.
When: 11/30/2016 10:00:00 AM - 11:00:00 AM

Advance: Charlotte McKee
(803)209-1057

EVENT: LPL Financial Ribbon Cutting

DATE: November 30, 2016

TIME: 10:00 AM

LOCATION: Lake Buildings, 1055 LPL Way, Fort Mill 29715

From Columbia:

Take I-77 north to exit 85, Hwy. 160.

Go right/east.

Make the second left, at the light. LPL's campus is on your left.

PARKING: LPL security has arranged parking with the governor's security. The governor will be greeted by Lauren Hoyt-Williams, AVP Public Relations and Peggy Ho.

PURPOSE: To congratulate the company for their continued support in the state, and celebrate their ribbon-cutting and grand opening in Fort Mill.

LOCATION SET-UP: The event will be outdoors, adjacent to a small lake and a boardwalk area on the LPL Financial campus. All speakers will be seated to the side of the stage (see attached chart). They will have a few chairs upfront for those attendees who need seating, but this will be a primarily standing event. There will be heaters outside if the weather warrants it. The contingency plan for weather will be to have the event inside their cafeteria.

ON-SITE LOCATION CONTACT: Lauren Hoyt-Williams, AVP Public Relations - cell: 704-763-1688.
Security contact: Kevin Cliff, VP of Security – cell: 704-763-9676.

PROJECT NAME: Project Disney and Project Disney 2

COMPANY NAME: LPL Financial LLC

PROJECT MANAGER: Tony Allen

CITY AND COUNTY: Fort Mill / York County

JOBS NUMBER AND INVESTMENT NUMBER: 2013 Project Disney - 2000 jobs/\$120 million,
2014 Project Disney 2 – 1,000 jobs / \$30 million

LPL Financial has approximately 1,400 employees at their SC campus, with almost 4,000 employees total

within the organization. They are hiring on an ongoing basis.

SEATED ON STAGE: There will be a raised platform with a podium. All speakers will sit in chairs to the side of the platform until they are introduced to speak. Governor Haley will be introduced by CEO Mark Casady. As introduced, speakers will go to the platform, speak, and go back to their original chair on the side of the platform.

When looking at the stage, speaker seating is to the left. She will be second seat from the right, or second seat from the stage, first row.

KEY COMPANY PERSONS:

Mark Casady – LPL Chairman and CEO

Sallie Larsen – Financial Managing Director and Chief Human Capital Officer, LPL Financial

Jim Putnam – Lead Independent Director, LPL Financial Holdings, Inc.

Sara Nomellini – Senior Vice President of Corporate Real Estate, LPL Financial

NOTABLE CONFIRMED ATTENDEES:

Dehler Hart, Close family representative

Al Simpson, Congressman Mulvaney's Chief of Staff

Mick Mulvaney, Congressman *tentative*

Tim Scott, Senator *tentative*

GIFT: Oil painting should be presented to Mark Casady after the Governor's remarks.

PRESS: Yes

PUBLIC: Yes

ACCESS TO EMPLOYEES: There will be employees in the building and in attendance, but there is no planned meet and greet.

INTRODUCED BY: Mark Casady, Chairman and CEO of LPL Financial

LENGTH OF SPEAKING: 5 minutes

LINE-BY-LINE:

10:00 AM Arrive at site, Governor welcomed by LPL's PR rep Lauren Hoyt-Williams and EVP Government Relations, Peggy Ho

10:02 AM Governor Haley will move to the boardwalk and be introduced to Mark Casady and Sallie Larsen

10:04 AM Program start time, speakers take their seats

10:05 AM Sallie Larsen, welcome remarks

10:07 AM Sallie introduces Mark Casady and Jim Putnam
Remarks from Mark Casady

10:10 AM Mark transitions to Jim Putnam - Remarks from Jim Putnam

10:12 AM Mark introduces Governor Haley
Remarks from Governor Haley

10:17 AM Sallie returns to introduce Sara Nomellini
Remarks from Sara Nomellini

10:23 AM Sallie returns to introduce Dehler Hart
Remarks from Dehler Hart

10:25 AM Sallie returns for closing remarks and to gather Mark, Governor Haley and Sara to the stage for ribbon cutting

10:27 AM Media interviews – Media will be assembled steps away from the stage and apart from the reception area. We will invite media for a single interview time with Governor Haley and separately do the same with Mark Casady. Facilitated on site by Lauren Hoyt-Williams

10:30 AM Event ends, Governor Haley departs

HISTORY OF COMMUNICATION: The Governor met LPL executives at their announcement in June 2013 and at their groundbreaking event in February 2015.

COMPANY OVERVIEW: LPL Financial was formed in 1989 through the merger of two small brokerage firms, Linsco and Private Ledger. LPL Financial is one of the largest brokerage firms in the country supporting approximately 17,500 financial professionals. LPL Financial has offices in Boston, San Diego, and Charlotte.

- Nation's largest independent broker/dealer firm
- 4.3 million funded accounts
- Over 13,000 financial advisors supported
- Approximately 4,500 technology, custody, and clearing service subscribers
- Approximately 700 financial institution partners
- \$438 billion in advisory and brokerage assets

LPL Financial helps entrepreneurial financial advisors establish successful businesses offering independent financial guidance and advice. The company offers technology, training, infrastructure, and research, as well as stocks, bonds, mutual funds, annuities, insurance, and other investment products and services. LPL Financial also uses an open-architecture platform, providing customers with access to thousands of commission, fee-based, cash, and money market products manufactured by hundreds of third-party product sponsors.

COMPANY BRAGGING POINTS: Through the LPL Financial Charitable Foundation, the company creates partnerships through volunteer and financial support that enhance access to educational, career, and financial literacy resources, fostering economic empowerment for at-risk individuals and families in the LPL Financial communities.

SUGGESTED TALKING POINTS:

- It is another great day in South Carolina!
- Today, we come together to celebrate one of the newest members of the South Carolina family – LPL Financial.
- We were excited two years ago when this remarkable company announced its decision to establish operations here in York County, and we're even more excited today.
- It's always an inspiration to see a company's vision and a world class facility, like this one, come to fruition.
- South Carolina is often recognized as a leader in manufacturing. Our people make things, and they make them well.
- But, as is evidenced on days like today, we've cultivated a truly diverse economy here in South Carolina.
- And, our state has become a top destination for Class A office operations.
- Why have we been so successful? The answer is simple – our workforce.
- With the right mix of skill and pride, the people of our state have built a strong reputation.
- Employers know that, when they open their doors here in South Carolina, they're going to get workers that care about the company and care about doing the job right.
- With more than 14,000 financial advisors nationwide and an annual revenue of \$4.2 billion, LPL truly is a leader in the financial industry.

- And, they could have located this facility anywhere. Yet, they chose to put down roots here in York County and invest \$150 million in this community.
- More important than a tremendous economic impact, however, this facility is expected to create 3,000 new jobs here. That is 3,000 additional families that will be supported by LPL's exceptional commitment to our state.
- And, let me emphasize this – we do not take that commitment lightly.
- When this announcement was made two years ago, we promised to support LPL Financial.
- As we always do when we bring companies to South Carolina, we committed to having their back. That does not end today.
- I want to reaffirm our commitment to all of the leadership at LPL. We couldn't be happier that you put your faith in us.
- This is an important milestone.
- Thank you, again, for placing your trust in us, and I personally look forward to continuing this tremendously successful partnership with you.

BIOS:

Mark Casady

Chairman & CEO, LPL Financial LLC

Mark Casady has guided LPL to become a leading financial services organization that serves independent financial advisors, banks, and credit unions and that provides clearing services to broker/dealers at financial services companies. Before joining LPL Financial in 2002, Mr. Casady was managing director of the mutual fund group for Deutsche Asset Management, Americas—formerly Scudder Investments. He joined Scudder in 1994 and held roles as managing director, head of the global mutual fund group, and head of defined contribution services; he was also a member of the Scudder, Stevens, and Clark board of directors and management committee. Prior to Scudder, he held roles at Concord Financial Group as institutional sales manager and at Northern Trust as vice president of investments and head of global custody operations in its London office. Mr. Casady is a member of the board of the EZE Software Group and Citizens Financial Group. He is also vice chair of the Investment Management Policy Committee of the Financial Services Roundtable. He is a former member of the Financial Industry Regulatory Authority (FINRA) board of governors and a former chairman of the Insured Retirement Institute (IRI). He has also previously served on the executive committee of the Investment Company Institute board of governors. Additionally, Mr. Casady is treasurer of the Casady family's One Step Forward Education Foundation, which focuses on changing the lives of children around the globe through education. He also helped found and fund the Invest in Others Charitable Foundation, which recognizes the philanthropic activity of financial advisors across the industry.

Sallie Larsen

Managing Director and Chief Human Capital Officer, LPL Financial LLC

Sallie Larsen has oversight of Corporate Communication, Human Resources, Talent Development, Corporate Real Estate, and Total Rewards and Talent Acquisition. Ms. Larsen joined the organization in 2012 with more than 25 years of human resources experience. In earlier roles, she was a managing vice president of human resources for Capital One Financial Corporation, senior vice president of human resources for Marriott International, and vice president of HR and communications for TRW Inc.

Jim Putnam

LPL Financial Holdings, Inc. Lead Independent Director

Jim Putnam has been chief executive officer of Global Portfolio Advisors (GPA) since September 2004. He has served on the board of directors of GPA since 1998, and has been director and vice chairman since December 2005. Prior to his tenure with GPA, Mr. Putnam was employed by LPL Financial beginning in

1983 where he held several positions, culminating in managing director of national sales, responsible for branch development, recruitment, retention and management of LPL Financial advisors. He was also responsible for marketing and all product sales. Mr. Putnam began his securities career as a retail representative with Dean Witter Reynolds in 1979.

Sara Nomellini

Senior Vice President of Corporate Real Estate, LPL Financial LLC

Sara Nomellini has more than 25 years of experience in the real estate industry. She is a registered architect, a member of the American Institute of Architects, and holds the CoreNet Global MCR designation. In 2014, Sara led the completion of our LEED Platinum-certified San Diego office building and launched LPL's corporate Sustainability Champions program, made up of employee volunteers in a grassroots effort to create and perpetuate a sustainable culture at LPL.

Lauren Hoyt-Williams

AVP Public Relations, LPL Financial LLC

Lauren Hoyt-Williams is the assistant vice president of public relations at LPL Financial. She has been with the company since 2014. Hoyt-Williams has more than 15 years of experience in communications, including media relations and corporate communications.

Prior to working at LPL Financial, Hoyt-Williams worked as the Marketing Manager at Busch Gardens and Adventure Island, as well as SeaWorld Parks & Entertainment.

Hoyt-Williams attended the University of Florida and resides in the Charlotte, NC area.

Peggy Ho

Executive Vice President, Head of Government Relations, LPL Financial LLC

Peggy Ho is the Executive Vice President, Chief of Staff – Legal, Head of Government Relations for LPL Financial. She has been with the company since 2007. Ho oversees the firm's federal and state Government Relations strategy and operations, continuing the firm's strategic engagement with trade association partners, industry peers, and business unit leaders. She works with senior executives at the firm, develops and articulates the firm's policy positions and advocacy strategy and continues to lead their efforts to build relationships and raise the profile of the firm among legislators and regulators in Washington, DC and in the 50 states.

Prior to working for LPL Financial, Hoe was a Senior Corporate Associate for Ropes & Gray LLP, and a taught Chinese history at St. Mark's School.

Hoe received her A.B. in East Asian Studies, magna cum laude from Harvard University, her M.S.F.S., International Business Diplomacy, from Georgetown University School of Foreign Service, and her J.D. from Georgetown University Law Center. Peggy Ho resides in the greater Boston area.