

LPL Financial Holdings Inc.

Form 3

March 19, 2015

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

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**INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,  
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section  
30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting  
Person \*Â Handelsman Sharyn  
(Last) (First) (Middle)2. Date of Event Requiring  
Statement(Month/Day/Year)  
03/11/20153. Issuer Name **and** Ticker or Trading Symbol  
LPL Financial Holdings Inc. [LPLA]4. Relationship of Reporting  
Person(s) to Issuer5. If Amendment, Date Original  
Filed(Month/Day/Year)C/O LPL FINANCIAL  
HOLDINGS INC.,Â 75 STATE  
STREET, 24TH FLOOR

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner  
☒ Officer ☐ Other  
(give title below) (specify below)  
MD, Chief Compliance Officer

BOSTON,Â MAÂ 02109

(City) (State) (Zip)

6. Individual or Joint/Group  
Filing(Check Applicable Line)  
☒ Form filed by One Reporting  
Person  
☐ Form filed by More than One  
Reporting Person**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security  
(Instr. 4)2. Amount of Securities  
Beneficially Owned  
(Instr. 4)3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)

Common Stock

6,478 <sup>(1)</sup>

D Â

Reminder: Report on a separate line for each class of securities beneficially  
owned directly or indirectly.

SEC 1473 (7-02)

**Persons who respond to the collection of  
information contained in this form are not  
required to respond unless the form displays a  
currently valid OMB control number.****Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative  
Security  
(Instr. 4)2. Date Exercisable and  
Expiration Date  
(Month/Day/Year)3. Title and Amount of  
Securities Underlying  
Derivative Security  
(Instr. 4)4. Conversion  
or Exercise  
Price of  
Derivative5. Ownership  
Form of  
Derivative  
Security:6. Nature of Indirect  
Beneficial  
Ownership  
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Option to purchase Common Stock	Â <u>(2)</u>	11/17/2020	Common Stock	10,100	\$ 30	D	Â
Option to purchase Common Stock	Â <u>(3)</u>	12/22/2020	Common Stock	10,000	\$ 34.61	D	Â
Option to purchase Common Stock	Â <u>(4)</u>	02/09/2022	Common Stock	12,491	\$ 32.26	D	Â
Option to purchase Common Stock	Â <u>(5)</u>	02/22/2023	Common Stock	10,050	\$ 31.6	D	Â
Option to purchase Common Stock	Â <u>(6)</u>	02/24/2024	Common Stock	5,130	\$ 54.81	D	Â
Option to purchase Common Stock	Â <u>(7)</u>	03/06/2025	Common Stock	7,144	\$ 45.55	D	Â
Option to purchase Common Stock	03/06/2018 <sup>(8)</sup>	03/06/2025	Common Stock	2,857	\$ 45.55	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Handelsman Sharyn C/O LPL FINANCIAL HOLDINGS INC. 75 STATE STREET, 24TH FLOOR BOSTON, MA 02109	Â	Â	Â MD, Chief Compliance Officer	Â

## Signatures

/s/ Sharyn J  
Handelsman

03/19/2015

\*\*Signature of Reporting Person

Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, *see* Instruction 5(b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

- Consists of (i) 2,127 shares of Common Stock; (ii) 1,266 restricted stock units that vest ratably on February 22, 2016 and February 22, 2017; (iii) 864 restricted stock units that vest ratably on February 24, 2016 and February 24, 2017; (iv) 1,587 restricted stock units that vest ratably on March 6, 2016, March 6, 2017 and March 6, 2018; and (v) 634 restricted stock units that vest in full on March 6, 2018.
- (2) This option is currently exercisable as to 5,050 shares. The remaining award will become vested and exercisable on November 17, 2015.
- (3) This option is currently exercisable as to 8,000 shares. The remaining award will become vested and exercisable on December 22, 2015.
- (4) This option is currently exercisable as to 7,495 shares. The remaining award will vest ratably on February 9, 2016 and February 9, 2017.
- (5) This option is currently exercisable as to 5,025 shares. The remaining award will vest ratably on February 22, 2016 and February 22, 2017.

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- (6) This option is currently exercisable as to 1,710 shares. The remaining award will vest ratably on February 24, 2016 and February 24, 2017.
- (7) This option is not currently exercisable as to any shares. The remaining award will vest ratably on March 6, 2016, March 6, 2017 and March 6, 2018.
- (8) This option will become exercisable in full on March 6, 2018.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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