

LPL Financial Holdings Inc.

Form 3

March 19, 2015

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

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

Estimated average burden hours per response... 0.5

**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 Thomas Lux

(Last)

(First)

(Middle)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

03/13/2015

3. 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)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Acting Chief Financial Officer

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting  
Person☐ Form filed by More than One  
Reporting PersonC/O LPL FINANCIAL  
HOLDINGS INC.,Â 75 STATE  
STREET

(Street)

BOSTON,Â MAÂ 02109

(City)

(State)

(Zip)

**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

6,378 <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)

## Edgar Filing: LPL Financial Holdings Inc. - Form 3

	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>	09/14/2019	Common Stock	15,300	\$ 22.08	D	Â
Option to purchase Common Stock	Â <u>(3)</u>	12/22/2020	Common Stock	20,000	\$ 34.61	D	Â
Option to purchase Common Stock	Â <u>(4)</u>	02/09/2022	Common Stock	6,843	\$ 32.26	D	Â
Option to purchase Common Stock	Â <u>(5)</u>	02/22/2023	Common Stock	8,291	\$ 31.6	D	Â
Option to purchase Common Stock	Â <u>(6)</u>	02/24/2024	Common Stock	4,924	\$ 54.81	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Thomas Lux C/O LPL FINANCIAL HOLDINGS INC. 75 STATE STREET BOSTON, MA 02109	Â	Â	Â Acting Chief Financial Officer	Â

## Signatures

/s/ Thomas Lux                      03/19/2015

                    Signature of                      Date  
Reporting Person

## 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).
- (1) Consists of (i) 4,505 shares of Common Stock; (ii) 1,044 restricted stock units that vest ratably on February 22, 2016 and February 22, 2017; and (iii) 829 restricted stock units that vest ratably on February 24, 2016 and February 24, 2017.
- (2) This option became fully vested and exercisable on September 14, 2014.
- (3) This option is currently exercisable as to 16,000 shares. The remaining award will become vested and exercisable on December 22, 2015.
- (4) This option is currently exercisable as to 2,506 shares. The remaining award will vest ratably on February 9, 2016 and February 9, 2017.
- (5) This option is currently exercisable as to 4,145 shares. The remaining award will vest ratably on February 22, 2016, and February 22, 2017.
- (6) This option is currently exercisable as to 1,642 shares. The remaining award will vest ratably on February 24, 2016, and February 24, 2017.

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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