Edgar Filing: LPL Financial Holdings Inc. - Form 4

LPL Financial Holdings Inc. Form 4 March 10, 2014								
	OMB APPROVAL							
UNITED STA	COMMISSION OMB Number: 3235-0287 January 31,							
Section 16. Form 4 or Form 5 Filed pursuant	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP O 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 1(b).								
(Print or Type Responses)								
1. Name and Address of Reporting Person RIEPE JAMES S	 2. Issuer Name and Ticker or Trading Symbol LPL Financial Holdings Inc. [LPLA] 	5. Relationship of Reporting Person(s) to Issuer						
(Last) (First) (Middle)	3. Date of Earliest Transaction	(Check all applicable)						
C/O LPL FINANCIAL HOLDING INC., 75 STATE STREET	(Month/Day/Year) S 03/06/2014	X_ Director 10% Owner Officer (give title Other (specify below) below)						
(Street)	4. If Amendment, Date Original Filed(Month/Day/Year)	6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person						
BOSTON, MA 02109 Form filed by More than One Reporting Person								
(City) (State) (Zip)	Table I - Non-Derivative Securities Acc	uired, Disposed of, or Beneficially Owned						
(Instr. 3) any	Deemed 3. 4. Securities Acquired ution Date, if Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) hth/Day/Year) (Instr. 8) (A) or	5. Amount of Securities6. Ownership Form: Direct7. Nature of IndirectBeneficially Owned(D) or Indirect (I)Beneficial OwnershipFollowing Following Transaction(s) (Instr. 3 and 4)(Instr. 4)						
Common 03/06/2014	Code V Amount (D) Price A 935 (1) A $\begin{array}{c} \$ \\ 52 47 \end{array}$	49,750 D						
Stock Common Stock	A 955 — A 53.47	35,971 I By Stone Barn LLC						

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

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 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
 (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transacti Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Amou Unde Secur	le and unt of rlying tities . 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address		Relationships					
		Director	10% Owner	Officer	Other		
RIEPE JAMES S C/O LPL FINANCIAL HOLDINGS INC. 75 STATE STREET BOSTON, MA 02109		Х					
Signatures							
/s/ James S. Riepe	03/08/2014						
<u>**</u> Signature of Reporting Person	Date						

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(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) These shares represent restricted stock that was granted under the Issuer's 2010 Omnibus Equity Incentive Plan. This restricted stock will vest in full on the second anniversary of the transaction date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.