## Edgar Filing: Putnam James S - Form 4

Putnam James S

Form 4 June 05, 2018													
	FORM 4 UNITED STATES SECURITIES AND EXCHANCE COMMISSION							OMB APPROVAL					
		SECURITIES AND EXCHANGE CO Washington, D.C. 20549						OMB Number:	3235-0287				
Check thi if no long subject to Section 10 Form 4 or	F CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES							Expires: January 3 200 Estimated average burden hours per response 0					
Form 5 obligatior may conti <i>See</i> Instru 1(b).	<sup>1s</sup> Section 1	7(a) of the		ility H	oldi	ing Com	pany	Act o	ge Act of 1934, f 1935 or Sectio 40				
(Print or Type R	(esponses)												
1. Name and A Putnam Jame	Symbol	-					5. Relationship of Reporting Person(s) to Issuer						
	LPL Fin			-	nc. [L	PLAJ	(Check all applicable)						
(			3. Date of Earliest Transaction (Month/Day/Year) 06/01/2018						X_ Director Officer (give below)	Officer (give title Other (specify			
(Street) 4. If Amend Filed(Month				ndment, Date Original h/Day/Year)					<ul> <li>6. Individual or Joint/Group Filing(Check</li> <li>Applicable Line)</li> <li>_X_ Form filed by One Reporting Person</li> </ul>				
BOSTON, M	/IA 02109									More than One Re			
(City)	(State)	(Zip)	Table	e I - Nor	1-De	erivative S	Securi	ties Aco	quired, Disposed o	f, or Beneficia	lly Owned		
1.Title of Security (Instr. 3)	2. Transaction I (Month/Day/Ye	ear) Executi any		Code (Instr.	8)	4. Securi nAcquired Disposed (Instr. 3, Amount	I (A) o I of (D 4 and (A) or	)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)			
Common Stock	06/01/2018			А		36 <u>(1)</u>	A	\$0	124,779.5	D			

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

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 Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

## fully vested as of the date hereof. The stock units reported hereby were credited to the reporting person's DDCP account in connection with a quarterly cash dividend that was paid on shares of common stock.

**Explanation of Responses:** 

## **Remarks:**

\*\*

The signatory is signing on behalf of James S. Putnam pursuant to a Power of Attorney dated March 9, 2014.

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.

Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Represents stock units granted under the Issuer's Amended and Restated 2010 Omnibus Plan. Each stock unit represents the right to receive one share of common stock and is fully vested. The reporting person was previously granted stock units that were subject to a (1) written deferral election under the Issuer's Non-Employee Director Deferred Compensation Plan (the "DDCP"), which stock units are

Reporting	Owners

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. Transactio Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	3	Date	7. Titl Amou Under Secur (Instr.	int of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owno 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							
1	Director	10% Owner	Officer	Other				
Putnam James S C/O LPL FINANCIAL HOLDINGS INC. 75 STATE STREET, 22ND FLOOR BOSTON, MA 02109	Х							
Signatures								
/s/ Gregory M. Woods, attorney-in-fact	06/05/20	18						
**Signature of Reporting Person	Date							

If the form is filed by more than one reporting person, see Instruction 4(b)(v).