### Edgar Filing: Putnam James S - Form 4

Putnam James S Form 4								
Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue	ATES SECURITIES AND Washington, D.C IT OF CHANGES IN BEN SECURITH Int to Section 16(a) of the Sec f the Public Utility Holding 30(h) of the Investment Com	. 20549 EFICIAL OW ES curities Exchang Company Act o	NERSHIP OF ge Act of 1934, f 1935 or Section	OMB Number: Expires: Estimated a burden hou response	rs per			
(Print or Type Responses)								
1. Name and Address of Reporting Perso Putnam James S	Symbol	2. Issuer Name <b>and</b> Ticker or Trading Symbol LPL Financial Holdings Inc. [LPLA]			5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last) (First) (Middl C/O LPL FINANCIAL HOLDIN INC., 75 STATE STREET, 22NI FLOOR	(Month/Day/Year) IGS 11/26/2018	ion	X Director Officer (give below)	10%	o Owner er (specify			
(Street)	4. If Amendment, Date Ori Filed(Month/Day/Year)	4. If Amendment, Date Original Filed(Month/Day/Year)			int/Group Filing(Check One Reporting Person Iore than One Reporting			
BOSTON, MA 02109			Person	fore than One Ke	porting			
(City) (State) (Zip)	Table I - Non-Deriva	tive Securities Acc	quired, Disposed of	, or Beneficial	lly Owned			
1.Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)242. Transaction Date (Month/Day/Year)242. Transaction Date (Month/Day/Year)242. Transaction Date (Month/Day/Year)243. (Month/Day/Year)314. (Month/Day/Year)414. (Month/Day/Year) <td< td=""><td>xecution Date, if TransactionAcc</td><td>posed of (D) tr. 3, 4 and 5) (A) or</td><td>Securities Beneficially Owned</td><td>6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)</br></td><td>7. Nature of Indirect Beneficial Ownership (Instr. 4)</td></td<>	xecution Date, if TransactionAcc	posed of (D) tr. 3, 4 and 5) (A) or	Securities Beneficially Owned	6. Ownership Form: Direct (D) or 	7. Nature of Indirect Beneficial Ownership (Instr. 4)			
Common 11/26/2018 Stock	A 40		124,857.5	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)

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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. ionNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	;	ate	Secur	unt of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owna Follo Repo Trans (Instr
				Code V	7 (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

# **Reporting Owners**

<b>Reporting Owner Name / Address</b>	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	11/28/20	18					
**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).

Represents stock units granted under the Issuer's Amended and Restated 2010 Omnibus Equity Incentive 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

(1) subject to a written deferral election under the Issuer's Non-Employee Director Deferred Compensation Plan (the "DDCP"), which stock units are 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.

### **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.