LPL Financial Holdings Inc.

Form 4

February 14, 2014

## FORM 4

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** 

**OMB APPROVAL** 

Number:

3235-0287

Expires:

January 31, 2005

0.5

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response...

subject to Section 16. Form 4 or Form 5 obligations

Check this box

if no longer

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

may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

Common

Stock

02/12/2014

(Print or Type Responses)

1. Name and Address of Reporting Person * Arnold Dan H.			2. Issuer Symbol	Name and	Ticker or Trading	5. Relationship of Reporting Person(s) to Issuer			
			LPL Fin	ancial H	oldings Inc. [LPLA]	(Check all applicable)			
(Last)	(First)	(Middle)	3. Date of	Earliest Ti	ransaction				
			(Month/D	ay/Year)		Director	10%	6 Owner	
C/O LPL FINANCIAL HOLDINGS			02/12/20	014		_X_ Officer (giv		er (specify	
INC., 75 STATE STREET						below)	below)		
INC., 73 STATE STREET						Chief Financial Officer			
(Street)			4. If Ame	ndment, Da	nte Original	6. Individual or Joint/Group Filing(Check			
			Filed(Mon	th/Day/Year	:)	Applicable Line)			
						_X_ Form filed by One Reporting Person			
BOSTON, MA 02109					Form filed by More than One Reporting Person				
DOSTON, WIN 02107									
(City)	(State)	(Zip)	Table	e I - Non-I	Derivative Securities Acq	quired, Disposed o	of, or Beneficia	lly Owned	
1.Title of	2. Transaction	Date 2A. Dee	emed	3.	4. Securities Acquired	5. Amount of	6. Ownership	7. Nature of	
Security	(Month/Day/Y	ear) Execution	on Date, if	Transacti	on(A) or Disposed of	Securities	Form: Direct	Indirect	
(Instr. 3)		any	,	Code	(D)	Beneficially	(D) or	Beneficial	

(Instr. 8)

Code V

S

(Instr. 3, 4 and 5)

Amount

70,000

(A)

(D)

D

Price

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

(Month/Day/Year)

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

Owned

Following

Reported

\$ 52 173,521 (1)

Transaction(s) (Instr. 3 and 4) Indirect (I)

(Instr. 4)

D

Ownership

(Instr. 4)

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

#### Edgar Filing: LPL Financial Holdings Inc. - Form 4

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. Transactic Code (Instr. 8)	5.  onNumber of Derivative Securities Acquired (A) or Disposed of (D)		ate	7. Title Amoun Underly Securiti (Instr. 3	t of ying es	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr
				Code V	(Instr. 3, 4, and 5)  (A) (D)	Date Exercisable	Expiration Date	Title N	Amount or Number of Shares		

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Arnold Dan H. C/O LPL FINANCIAL HOLDINGS INC. 75 STATE STREET BOSTON, MA 02109

Chief Financial Officer

## **Signatures**

/s/ Dan H. 02/14/2014 Arnold

\*\*Signature of Date Reporting Person

## **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) Consists of 168,684 shares of Common Stock, and 4,837 restricted stock units that vest fully on February 25, 2015

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.

Reporting Owners 2