Edgar Filing: LPL Financial Holdings Inc. - Form 4

LPL Financial Holdings Inc. ł N

Common

Common

Stock

11/12/2013

11/13/2013

Form 4											
November 1	4, 2013										
FORM	ΠД								OMB A	PPROVAL	
	UNITED	STATES		RITIES A shington,			NGE C	OMMISSION	OMB Number:	3235-0287	
Check this box								Expires:	January 31,		
if no lon subject to Section Form 4 c	6. STATEN	F CHANGES IN BENEFICIAL OWNERSHIP OI SECURITIES						Expired: 200 Estimated average burden hours per response 0.			
Form 5 obligatio may con <i>See</i> Instr 1(b).	tinue. Section 17(a) of the l	Public U		ding Con	ipany	Act of	e Act of 1934, 1935 or Sectior 0	1		
(Print or Type	Responses)										
Desta and Lances C				2. Issuer Name and Ticker or Trading Symbol				5. Relationship of Reporting Person(s) to Issuer			
		LPL Financial Holdings Inc. [LPLA]					(Check all applicable)				
(Month/I				of Earliest Transaction /Day/Year)				X Director 10% Owner Officer (give title Other (specify			
	INANCIAL HOL FATE STREET	DINGS	11/12/2	013				below)	below)	er (spechy	
				endment, Date Original onth/Day/Year)				6. Individual or Joint/Group Filing(Check Applicable Line) _X_Form filed by One Reporting Person			
BOSTON,	MA 02109							Form filed by M Person	ore than One Re	eporting	
(City)	(State)	(Zip)	Tab	le I - Non-I	Derivative	Secur	ities Acq	uired, Disposed of	, or Beneficial	lly Owned	
(Instr. 3) any		Execution	Date, if	3.4. Securities AcquiredTransactior(A) or Disposed of (D)Code(Instr. 3, 4 and 5)(Instr. 8)			Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
				Code V	Amount	(A) or (D)	Price \$	Reported Transaction(s) (Instr. 3 and 4)	(Instr. 4)		
Common Stock	11/12/2013			S <u>(1)</u>	17,132	D	42.01 (2)	235,964.5	D		
Common Stock	11/13/2013			S <u>(1)</u>	12,868	D	\$ 42.12	223,096.5	D		

(3)

\$

(2)

\$

42.01 16,627

0

I

I

33,070 D

16,627 D

S<u>(1)</u>

S(1)

Held by

Person's

Held by

spouse $\underline{^{(4)}}$

Reporting

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Stock	42.16	Reporting
	(5)	Person's
		spouse (4)

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)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	4. Transactio Code (Instr. 8)	5. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Expiration D (Month/Day/ e	Expiration Date (Month/Day/Year)		le and ant of rlying ities . 3 and 4)	9. Nu Deriv Secu 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				
Putnam James S C/O LPL FINANCIAL HO 75 STATE STREET BOSTON, MA 02109	LDINGS INC.	Х							
Signatures									
/s/ James S. Putnam	11/14/2013								
data a secondaria da second									

<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) The sales reported in this Form 4 were effected pursuant to Rule 10b5-1 trading plans adopted by the reporting person on December 14, 2012.

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The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$42.00 to \$42.07, inclusive. The Reporting Person undertakes to provide to LPL Financial Holdings Inc., any security holder of LPL Financial

(2) 10 942.07, inclusive. The Reporting Person undertakes to provide to EPE Phanetar Holdings Inc., any security holder of EPE Phanetar Holdings Inc., and security holder of EPE Phanetar Holdings Inc., and security holder of EPE Phanetar Holdings Inc., and security holder of EPE Phanetar Holdings I

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$42.00 to \$42.38, inclusive. The Reporting Person undertakes to provide to LPL Financial Holdings Inc., any security holder of LPL Financial

- (3) Holdings Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote (3) to this Form 4.
- (4) The Reporting Person disclaims beneficial ownership of these shares.

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$42.00 to \$42.45, inclusive. The Reporting Person undertakes to provide to LPL Financial Holdings Inc., any security holder of LPL Financial

(5) Holdings Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote (5) to this Form 4.

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.