

LPL Financial Holdings Inc.  
Form 3  
June 16, 2014

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0104  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

**INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF 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

(Print or Type Responses)

|  |   |  |   |   |  |
|--|---|--|---|---|--|
| <p>1. Name and Address of Reporting Person *</p> <p>Â Schott Mary Frances</p> <p>(Last) (First) (Middle)</p> <p>C/O LPL FINANCIAL HOLDINGS INC., Â 75 STATE STREET, 24TH FLOOR</p> <p>(Street)</p> <p>BOSTON, Â MA Â 02109</p> <p>(City) (State) (Zip)</p> | <p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>06/05/2014</p> | <p>3. Issuer Name and Ticker or Trading Symbol</p> <p>LPL Financial Holdings Inc. [LPLA]</p> | <p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input type="checkbox"/> Director <input type="checkbox"/> 10% Owner</p> <p><input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other</p> <p>(give title below) (specify below)</p> <p>MD, Client Expernce &amp; Training</p> | <p>5. If Amendment, Date Original Filed(Month/Day/Year)</p> | <p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person</p> <p><input type="checkbox"/> Form filed by More than One Reporting Person</p> |
|--|---|--|---|---|--|

**Table I - Non-Derivative Securities Beneficially Owned**

| 1. Title of Security<br>(Instr. 4) | 2. Amount of Securities Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|------------------------------------|--|---|--|
| Common                             | 5,744 <sup>(1)</sup>                                     | D   | Â  |

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

SEC 1473 (7-02)

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

| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and Expiration Date<br>(Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security<br>(Instr. 4) | 4. Conversion or Exercise Price of Derivative | 5. Ownership Form of Derivative Security: | 6. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|---|---|--|---|---|--|
|---|---|--|---|---|--|

Edgar Filing: LPL Financial Holdings Inc. - Form 3

|                                 | Date Exercisable | Expiration Date | Title        | Amount or Number of Shares | Security | Direct (D) or Indirect (I) (Instr. 5) |   |
|---------------------------------|------------------|-----------------|--------------|----------------------------|----------|---------------------------------------|---|
| Option to purchase Common Stock | Â (2)            | 02/09/2022      | Common Stock | 12,702                     | \$ 32.26 | D                                     | Â |
| Option to purchase Common Stock | Â (3)            | 02/22/2023      | Common Stock | 9,045                      | \$ 31.6  | D                                     | Â |
| Option to purchase Common Stock | Â (4)            | 02/24/2024      | Common Stock | 5,780                      | \$ 54.81 | D                                     | Â |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                                  |       |
|---|---------------|-----------|----------------------------------|-------|
|   | Director      | 10% Owner | Officer                          | Other |
| Schott Mary Frances<br>C/O LPL FINANCIAL HOLDINGS INC.<br>75 STATE STREET, 24TH FLOOR<br>BOSTON, MA 02109 | Â             | Â         | Â MD, Client Expernce & Training | Â     |

## Signatures

/s/ Mary Frances Schott  
Date: 06/16/2014

\*\*Signature of Reporting Person                      Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, see Instruction 5(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 (i) 319 shares of Common Stock (ii) 1,709 restricted stock units that vest ratably on February 22, 2015, February 22, 2016 and February 22, 2017; (iii) 2,257 restricted stock units that vest in full on February 25, 2015; and (iv) 1,459 restricted stock units that vest ratably on February 24, 2015, February 24, 2016 and February 24, 2017.
- (2) This option is currently exercisable as to 3,221 shares. The remaining award will vest ratably on February 9, 2015, February 9, 2016 and February 9, 2017.
- (3) This option is currently exercisable as to 2,261 shares. The remaining award will vest ratably on February 22, 2015, February 22, 2016 and February 22, 2017.
- (4) This option is not currently exercisable as to any shares. The award will vest ratably on February 24, 2015, February 24, 2016 and February 24, 2017.

Â

### Remarks:

Ms. Â Schott Â is Â known Â professionally Â as Â Mimi Â Bock.

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.