

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: 3235-0104Expires: January 31,
2005Estimated 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)

1. Name and Address of Reporting
Person *

Â Schott Mary Frances

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

06/05/2014

3. Issuer Name **and** Ticker or Trading Symbol
LPL Financial Holdings Inc. [LPLA]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)C/O LPL FINANCIAL
HOLDINGS INC.,Â 75 STATE
STREET, 24TH FLOOR

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

MD, Client Experence & Training

BOSTON,Â MAÂ 02109

(City)

(State)

(Zip)

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting Person**Table I - Non-Derivative Securities Beneficially Owned**1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common

5,744 ⁽¹⁾

D

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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
(Instr. 4)2. Date Exercisable and
Expiration Date
(Month/Day/Year)3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)4. Conversion
or Exercise
Price of
Derivative5. Ownership
Form of
Derivative
Security:6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

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	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 C/O LPL FINANCIAL HOLDINGS INC. 75 STATE STREET, 24TH FLOOR BOSTON,Â MAÂ 02109	Â	Â	Â MD, Client Expernce & Training	Â

Signatures

/s/ Mary Frances
Schott 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).
- 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 (1) 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.

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Remarks:

Ms.Â SchottÂ isÂ knownÂ professionallyÂ asÂ MimiÂ 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.