SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Ad Hellman N	dress of Reporting	R (1	2. Date of Event Requiring Statement (Month/Day/Year) 05/10/2016 3. Issuer Name and Ticker or Trading Symbol LPL Financial Holdings Inc. [LPLA]									
	(First) NANCIAL HOI TREET, 22ND MA (State)					ionship of Reporting Perso all applicable) Director Officer (give title below)	10% 0	Owner (specify	(Mon 6. Inc Appli	th/Day/Year) dividual or Joint cable Line) Form filed b	ate of Original Filed I/Group Filing (Check y One Reporting Person y More than One erson	
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)		
No securities are beneficially owned					0		D					
Common Stock					2,779,941		I		See F	See Footnote ⁽¹⁾		
Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)												
Expira			Expiration D	Date Exercisable and xpiration Date /onth/Day/Year)		3. Title and Amount of Securi Underlying Derivative Securit		ty (Instr. 4) Con or E		5. Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
			Date Exercisable	Expiration Date	Title		Amo or Num of Shar	unt D ber	rice of erivative ecurity	Direct (D) or Indirect (I) (Instr. 5)		

Explanation of Responses:

1. Mr. Hellman is the Managing Member and control person of HMI Capital, LLC ("HMI"), which is the investment adviser and general partner of investment limited partnerships. These securities are held directly by those partnerships for the benefit of their investors. The securities may be deemed to be indirectly beneficially owned by HMI as the investment adviser and general partner of the partnerships and by Mr. Hellman as the control person of HMI. Mr. Hellman disclaims beneficial ownership of such securities except to the extent of his pecuniary interest therein.

Remarks:

<u>/s/ Marco Hellman</u>

<u>05/16/2016</u> Date

** Signature of Reporting Person

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

 * 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.