SEC Form 4

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

OMB Number: 3235-0287						
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Instruction 1(b)			Filed pursuant to Section 16(a) of the Securities Exchange Act of 1	hours per	hours per response: 0.5		
			or Section 30(h) of the Investment Company Act of 1940				
1. Name and Addro Putnam Jame	1 0	Person*	2. Issuer Name and Ticker or Trading Symbol <u>LPL Financial Holdings Inc.</u> [LPLA]	(Check all appl X Direct	icable) or	Person(s) to Issuer 10% Owner	
(Last) (First) (Middle) C/O LPL FINANCIAL HOLDINGS INC. 4707 EXECUTIVE DRIVE			3. Date of Earliest Transaction (Month/Day/Year) 05/07/2020	below	r (give title)	Other (specify below)	
			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)			
(Street)				l í	filed by One R	eporting Person	
SAN DIEGO	CA	92121		Form Perso	,	han One Reporting	
(City)	(State)	(Zip)					

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Transaction I Code (Instr.					5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	05/07/2020		A		2,780 ⁽¹⁾	A	\$ <mark>0</mark>	129,891.5	D	
Common Stock	05/07/2020		A		1,435 ⁽²⁾	A	\$ <mark>0</mark>	131,326.5	D	

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)	3A. Deemed Execution Date, if any (Month/Day/Year)		5. Nu nsaction of le (Instr. Deriv Secu (A) or Dispo of (D) (Instr and 5		rities ired r osed) : 3, 4	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)	ct al	
					Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares					

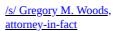
Explanation of Responses:

1. These shares represent restricted stock that was granted under the Issuer's Amended and Restated 2010 Omnibus Equity Incentive Plan ("Plan") pursuant to the Issuer's Non-Employee Director Compensation Policy ("Policy"). This restricted stock is scheduled to vest in full on May 4, 2021.

2. The reporting person elected to receive these shares, which were granted under the Plan, in lieu of the cash portion of the annual retainer under the Policy.

Remarks:

The signatory is signing on behalf of James S. Putnam pursuant to a Power of Attorney dated March 9, 2014.



05/11/2020

** Signature of Reporting Person Date

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 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).

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.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See