FORM 4

Check this box if no longer subject

to Section 16. Form 4 or Form 5 obligations may continue. See

Instruction 1(b).

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

| STATEMENT | OF CHANGES | IN BENEFICIAL | OWNERSHIP |
|-----------|------------|---------------|-----------|
| | | | |

OMB APPROVAL 3235-0287 Estimated average burden hours per response: 0.5

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 Address of Reporting Person* Thomas Corey E. | | | | 2. Issuer Name and Ticker or Trading Symbol LPL Financial Holdings Inc. [LPLA] | | | | | | | | (Che | eck all app | utionship of Reporting Pe call applicable) Director Officer (give title below) | | 10% O | wner | |
|--|--|---|---|--|--|--|--|--|---|--|---|--|---|--|--|--|--|---|
| (First) (Middle) LPL FINANCIAL HOLDINGS INC. | | 3. Date of Earliest Transaction (Month/Day/Year) 05/06/2021 | | | | | | | | | | Other (specify below) | | | | | | |
| | | 2121 | | 4. If A | Amend | ment, | Date of | f Origina | al Filed | d (Month/Da | y/Year | ·) | Line |) K Form Form | filed by On | ie Repi | orting Pers | on |
| (St | ate) (Z | ľip) | | | | | | | | | | | | 1 0130 | | | | |
| | Table | ıoM - I | n-Deriva | ative S | Secu | rities | Acq | uired, | Dis | posed of | , or I | 3ene | ficial | ly Own | ed | | | |
| Date | | | Date | Execution Da | | Date, | Transaction Dispose Code (Instr. 5) | | Disposed (| | | | Securit Benefic Owned | ties Fo cially (D) d Following (I) | | : Direct r Indirect str. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | |
| | | | | | | | | Code | v | Amount | (A) (D) | (A) or Pi | | Transa | action(s) | | | (1130.14) |
| Common Stock 05 | | | 05/06/ | 2021 | | | A | | 1,051(1) | 1 | A | \$ <mark>0</mark> | 8,518 | | | D | | |
| Common Stock 05/00 | | | 05/06/ | 2021 | | | A | | 542 ⁽²⁾ | A | | \$ <mark>0</mark> | 9,060 | | | D | | |
| Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) | | | | | | | | | | | | | | | | | | |
| Derivative Conversion Date Execution or Exercise (Month/Day/Year) if any | | on Date, | Code (8) | Transaction Code (Instr. 8) Of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | 6. Date Exercisable and Expiration Date (Month/Day/Year) Date Expiration | | or Number of | | str. | Derivative Security | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | | Ownership Form: Direct (D) or Indirect | 11. Nature of Indirect Beneficial Ownership (Instr. 4) | | | |
| | FINANCI ECUTIVE EGO CA (St Security (Inst Stock Stock 2. Conversion or Exercise Price of Derivative | FINANCIAL HOLDINGS ECUTIVE DRIVE EGO CA 9 (State) (Z Table Gecurity (Instr. 3) Stock Stock Tal 2. Conversion or Exercise Price of Date (Month/Day/Year) Privative | FINANCIAL HOLDINGS INC. ECUTIVE DRIVE EGO CA 92121 (State) (Zip) Table I - Not Security (Instr. 3) Stock Stock Table II - 2. Conversion or Exercise Price of Date (Month/Day/Year) Price of Derivative Table II - 3. Transaction Date (Month/Day/Year) Stock If any (Month/Day/Year) | FINANCIAL HOLDINGS INC. ECUTIVE DRIVE GGO CA 92121 (State) (Zip) Table I - Non-Derivation (Month/Daylyear) Stock 05/06/ Table II - Derivation (Conversion or Exercise Price of Derivative (Month/Daylyear) 3a. Deemed Execution Date, if any (Month/Daylyear) | FINANCIAL HOLDINGS INC. ECUTIVE DRIVE GGO CA 92121 (State) (Zip) Table I - Non-Derivative Security (Instr. 3) 2. 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ECUTIVE DRIVE GGO CA 92121 (State) (Zip) Table I - Non-Derivative Securities Acquired (Month/Day/Year) Stock Stock 05/06/2021 Table II - Derivative Securities Acquired (e.g., puts, calls, warrants, (Month/Day/Year) 2. Transaction Date (e.g., puts, calls, warrants, (Month/Day/Year) Table II - Derivative Securities Acquired (A) or Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | FINANCIAL HOLDINGS INC. ECUTIVE DRIVE Table I - Non-Derivative Securities Acquired, Security (Instr. 3) 2. Transaction Date (Month/Day/Year) Execution Date if any (Month/Day/Year) Stock Table II - Derivative Securities Acquired, Code (Stock Table II - Derivative Securities Acquired, I (e.g., puts, calls, warrants, option or Exercise Price of Date (Month/Day/Year) Conversion or Exercise Price of Derivative Security Security 3. Transaction Code (Instr. 3) 3. Transaction Date (Instr. 3) 3. Transaction Code (Instr. 3) 3. Transaction Date (Instr. 3) 3. Transaction Code (Instr. 3) 4. 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Form filed by One Reporting Pers Form filed by More than One Rep Perison Securities Acquired (A) or Disposed of, or Beneficially Owned Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) Stock 05/06/2021 A 1,051(¹¹) A \$0 8,518 D Stock 05/06/2021 A 542(²) A \$0 9,060 D Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 2. Transaction Other of Code (Instr. 4) Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 2. Transaction Other of Code (Instr. 4) Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 3. 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Explanation of Responses:

- 1. Represents stock units granted under the Issuer's 2021 Omnibus Equity Incentive Plan (the "2021 Plan"). Each stock unit represents the right to receive one share of common stock and is scheduled to vest in full on May 17, 2022. These stock units are subject to a written deferral election under the Issuer's Non-Employee Director Deferred Compensation Plan (the "DDCP") pursuant to which the reporting person elected to defer receipt of the equity portion of the annual retainer under the Issuer's Non-Employee Director Compensation Policy (the "Policy").
- 2. Represents stock units granted under the 2021 Plan. Each stock unit represents the right to receive one share of common stock and is fully vested. These stock units are subject to a written deferral election under the DDCP pursuant to which the reporting person elected to defer receipt of the cash portion of the annual retainer under the Policy.

Remarks:

The signatory is signing on behalf of Corey E. Thomas pursuant to a Power of Attorney dated April 29, 2019.

/s/ Gregory M. Woods, 05/10/2021 attorney-in-fact

** 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.