

LPL Financial Holdings Inc.
Form 8-K
August 08, 2014

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION

Washington, DC 20549

FORM 8-K

CURRENT REPORT PURSUANT TO SECTION 13 OR 15(d) OF
THE SECURITIES EXCHANGE ACT OF 1934

August 8, 2014
Date of report (date of earliest event reported)

LPL Financial Holdings Inc.
(Exact name of registrant as specified in its charter)

| | | |
|--|---------------------------------------|---|
| Delaware (State or other jurisdictions of incorporation or organization) | 001-34963 (Commission File Number) | 20-3717839 (I.R.S. Employer Identification Nos.) |
|--|---------------------------------------|---|

75 State Street
Boston MA 02109
(Address of principal executive offices) (Zip Code)

(617) 423-3644
(Registrant's telephone number, including area code)

N/A
(Former Name or Former Address, if Changed since Last Report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrants under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Item 8.01 Other Events

Mark S. Casady, Chairman and Chief Executive Officer of LPL Financial Holdings Inc. (the “Company”), expects to transfer 300,000 shares of the Company’s common stock to an irrevocable trust in connection with his financial and estate planning. As of August 7, 2014, Mr. Casady held 309,857 shares of common stock directly, 100,000 shares of common stock indirectly, and vested and unvested options for the purchase of 839,327 shares of common stock. Mr. Casady would remain in compliance with the Company’s stock ownership policy following such transfer.

SIGNATURE

Pursuant to the requirements of the Securities Exchange Act of 1934, as amended, the Registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

LPL FINANCIAL HOLDINGS INC.

By: /s/ Dan H. Arnold
Name: Dan H. Arnold
Title: Chief Financial Officer

Dated: August 8, 2014