

LPL Financial Holdings Inc.  
Form 8-K  
October 30, 2013

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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

October 30, 2013  
Date of report (date of earliest event reported)

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

Delaware	001-34963	20-3717839
(State or other jurisdictions of incorporation or organization)	(Commission File Number)	(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 2.02 Results of Operations and Financial Condition.

On October 30, 2013, LPL Financial Holdings Inc. (the "Company") issued a press release announcing its financial results for the quarter ended September 30, 2013. A copy of the press release is furnished with this Form 8-K and attached hereto as Exhibit 99.1.

Exhibit 99.1 shall not be deemed "filed" for purposes of Section 18 of the Securities Exchange Act of 1934, as amended (the "Exchange Act"), or otherwise subject to the liabilities under that Section and shall not be deemed to be incorporated by reference into any filing of the Company under the Securities Act of 1933, as amended, or the Exchange Act.

Item 8.01 Other Events.

Mark S. Casady, Chairman and Chief Executive Officer of the Company, expects to transfer 520,000 shares of the Company's common stock to an irrevocable trust on November 1, 2013 in connection with his estate planning. As of October 30, 2013, Mr. Casady directly held 1,039,671 shares of common stock, indirectly held 49,071 shares of common stock and held vested and unvested options for the purchase of 690,952 shares of common stock.

Item 9.01 Financial Statements and Exhibits.

(d) Exhibits

99.1 Press Release dated October 30, 2013 ("LPL Financial Announces Financial Results for Third Quarter 2013")

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SIGNATURE

Pursuant to the requirements of the Securities Exchange Act of 1934, 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: October 30, 2013