
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

March 23, 2018

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))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter)

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

Item 5.02 Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.

On March 23, 2018, Marco W. Hellman notified LPL Financial Holdings Inc. (the “Company”) that he will not seek reelection as a director of the Company upon expiration of his current term at the Company’s 2018 annual meeting of stockholders. Mr. Hellman stated that his decision to not seek reelection did not result from any disagreement with the Company.

Item 9.01 Financial Statements and Exhibits.

(d) Exhibits

99.1 [Press Release dated March 29, 2018 \(“LPL Financial Files Definitive Proxy Materials”\)](#)

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/ Matthew J. Audette

Name: Matthew J. Audette

Title: Chief Financial Officer

Dated: March 29, 2018

For Immediate Release

LPL FINANCIAL FILES DEFINITIVE PROXY MATERIALS

CHARLOTTE, N.C. - March 29, 2018 - LPL Financial Holdings Inc. (NASDAQ: LPLA) today announced that its 2018 annual meeting of stockholders will be held May 17 at noon ET at its offices located at 1055 LPL Way in Fort Mill, S.C. LPL has filed definitive proxy materials with the Securities and Exchange Commission related to the annual meeting.

As reflected in the proxy materials, Marco “Mick” Hellman has decided that he will not seek reelection as a director upon expiration of his current term at the annual meeting.

“On behalf of the board, I thank Mick for his service to LPL and our stockholders. He has been an exemplary colleague and valued member of the board in helping to guide the company through a period of significant transformation and growth,” said Jim Putnam, chair of the Board. “We wish him success in his future endeavors.”

With Mr. Hellman’s decision, eight directors have been nominated for reelection at the 2018 annual meeting of stockholders, as recommended by the board’s nominating and governance committee, which is also responsible for identifying, evaluating and recruiting additional qualified persons to serve on the board in the future.

IMPORTANT INFORMATION

In connection with its 2018 annual meeting of stockholders, the company has filed a definitive proxy statement on Schedule 14A with the Securities and Exchange Commission. INVESTORS AND STOCKHOLDERS OF THE COMPANY ARE URGED TO READ THE PROXY STATEMENT FOR THE 2018 ANNUAL MEETING IN ITS ENTIRETY BECAUSE IT CONTAINS IMPORTANT INFORMATION. Investors and stockholders may obtain free copies of the Company’s definitive proxy statement and any other documents filed by the Company in connection with the 2018 annual meeting at the SEC’s website at www.sec.gov. Free copies of the definitive proxy statement are also available in the “Investors” section of the Company’s website at www.lpl.com. The Company, its directors and nominees and certain of its executive officers are deemed to be participants in the solicitation of proxies in connection with its 2018 annual meeting. Detailed information regarding the names, affiliations and interests of the Company’s directors, nominees and executive officers is available in the definitive proxy statement for the 2018 annual meeting, which was filed with the SEC on March 29, 2018.

About LPL Financial

LPL Financial is a leader in the retail financial advice market and the nation’s largest independent broker/dealer*. We serve independent financial advisors and financial institutions, providing them with the technology, research, clearing and compliance services, and practice management programs they need to create and grow thriving practices. LPL enables them to provide objective guidance to millions of American families seeking wealth management, retirement planning, financial planning and asset management solutions.

LPL.com / [NASDAQ: LPLA](http://NASDAQ:LPLA)

Securities and Advisory Services offered through LPL Financial. A registered investment advisor, Member FINRA/SIPC.

*Based on total revenues, Financial Planning magazine June 1996-2017

###

Connect with Us!



Media Contact:

Jeff Mochal

(704) 733-3589

Jeffrey.Mochal@jpl.com