

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

**SCHEDULE 14A**

Proxy Statement Pursuant to Section 14(a) of  
the Securities Exchange Act of 1934 (Amendment No. \_\_\_\_\_ )

Filed by the Registrant

Filed by a Party other than the Registrant

Check the appropriate box:

- Preliminary Proxy Statement
- Confidential, for Use of the Commission Only (as permitted by Rule 14a-6(e)(2))
- Definitive Proxy Statement
- Definitive Additional Materials
- Soliciting Material under §240.14a-12

**LPL Financial Holdings Inc.**

(Name of Registrant as Specified In Its Charter)

(Name of Person(s) Filing Proxy Statement, if other than the Registrant)

Payment of Filing Fee (Check the appropriate box):

- No fee required.
- Fee computed on table below per Exchange Act Rules 14a-6(i)(1) and 0-11.
  - (1) Title of each class of securities to which transaction applies: \_\_\_\_\_
  - (2) Aggregate number of securities to which transaction applies: \_\_\_\_\_
  - (3) Per unit price or other underlying value of transaction computed pursuant to Exchange Act Rule 0-11 (set forth the amount on which the filing fee is calculated and state how it was determined): \_\_\_\_\_
  - (4) Proposed maximum aggregate value of transaction: \_\_\_\_\_
  - (5) Total fee paid: \_\_\_\_\_
- Fee paid previously with preliminary materials.
- Check box if any part of the fee is offset as provided by Exchange Act Rule 0-11(a)(2) and identify the filing for which the offsetting fee was paid previously. Identify the previous filing by registration statement number, or the Form or Schedule and the date of its filing.
  - (1) Amount Previously Paid: \_\_\_\_\_
  - (2) Form, Schedule or Registration Statement No.: \_\_\_\_\_
  - (3) Filing Party: \_\_\_\_\_
  - (4) Date Filed: \_\_\_\_\_

# Your **Vote** Counts!

LPL FINANCIAL HOLDINGS INC.

2021 Annual Meeting of Stockholders

Vote by May 4, 2021

11:59 PM Eastern Time

LPL FINANCIAL HOLDINGS INC.  
75 STATE STREET, 22ND FLOOR  
BOSTON, MASSACHUSETTS 02109, UNITED STATES



D36213-P52058

## You invested in LPL FINANCIAL HOLDINGS INC. and it's time to vote!

You have the right to vote on proposals being presented at the annual meeting. **This is an important notice regarding the availability of proxy materials for the 2021 annual meeting of stockholders to be held virtually on May 5, 2021.**

### Get informed before you vote

View the Notice, Proxy Statement and Annual Report online, OR you can receive a free paper or email copy of the materials by requesting them prior to April 21, 2021. If you would like to request a copy of the materials for this or future stockholder meetings, you may (1) visit [www.ProxyVote.com](http://www.ProxyVote.com), (2) call 1-800-579-1639 or (3) send an email to [sendmaterial@proxyvote.com](mailto:sendmaterial@proxyvote.com). If sending an email, please include your control number (indicated below) in the subject line. Unless requested, you will not receive a paper or email copy.



For complete information and to vote, visit [www.ProxyVote.com](http://www.ProxyVote.com)

Control #

#### Smartphone Users

Point your camera here and  
vote without entering a  
control number



#### Vote at the Virtual Meeting\*

Visit: [www.virtualshareholdermeeting.com/LPLA2021](http://www.virtualshareholdermeeting.com/LPLA2021)

On: May 5, 2021

10:30 AM Eastern Time

\*Please check the meeting materials for any special requirements for meeting attendance.

## THIS IS NOT A VOTABLE BALLOT

This is an overview of the proposals being presented at the upcoming 2021 annual meeting of stockholders. Please follow the instructions on the reverse side to vote these important matters.

Voting Items	Board Recommends
1. Elect the nine nominees named in the proxy statement to the Board of Directors. <b>Nominees:</b>	
1a. Dan H. Arnold	✓ For
1b. Edward C. Bernard	✓ For
1c. H. Paulett Eberhart	✓ For
1d. William F. Glavin, Jr.	✓ For
1e. Allison H. Mnookin	✓ For
1f. Anne M. Mulcahy	✓ For
1g. James S. Putnam	✓ For
1h. Richard P. Schifter	✓ For
1i. Corey E. Thomas	✓ For
2. Ratify the appointment of Deloitte & Touche LLP by the Audit Committee of the Board of Directors as the Company's independent registered public accounting firm for the fiscal year ending December 31, 2021.	✓ For
3. Approve, in an advisory vote, the compensation paid to the Company's named executive officers.	✓ For
4. Approve the LPL Financial Holdings Inc. 2021 Omnibus Equity Incentive Plan.	✓ For
5. Approve the LPL Financial Holdings Inc. 2021 Employee Stock Purchase Plan.	✓ For
<b>NOTE:</b> Such other business as may properly come before the meeting or any adjournment thereof will be voted on by the proxy holders in their discretion.	

Prefer to receive an email instead? While voting on [www.ProxyVote.com](http://www.ProxyVote.com), be sure to click "Sign up for E-delivery".