Larsen Sallie R. Form 3 May 08, 2012

## FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

January 31, Expires: 2005

Estimated average burden hours per

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Larsen Sallie R.

(Last) (First) (Middle)

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol LPL Investment Holdings Inc. [LPLA]

5. If Amendment, Date Original

C/O LPL INVESTMENT HOLDINGS INC., ONE **BEACON STREET, 22ND** 

1. Title of Security

(Instr. 4)

Statement

(Month/Day/Year)

05/01/2012

4. Relationship of Reporting Person(s) to Issuer

Filed(Month/Day/Year)

**FLOOR** 

(Street)

10% Owner Director \_X\_\_ Officer Other (give title below) (specify below)

MD, Chief Human Cap. Officer

(Check all applicable)

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

BOSTON, MAÂ 02108

(City) (State)

(Zip)

2. Amount of Securities

Beneficially Owned (Instr. 4)

Ownership Form:

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

Direct (D) or Indirect (I) (Instr. 5)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying **Derivative Security** (Instr. 4)

4. 5. Ownership Conversion or Exercise Form of Price of Derivative Security:

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Derivative

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Date Expiration Title Exercisable Date

Amount or Security Number of Shares Direct (D) or Indirect (I) (Instr. 5)

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer

Other

Larsen Sallie R.

C/O LPL INVESTMENT HOLDINGS INC. ONE BEACON STREET, 22ND FLOOR BOSTON, MAÂ 02108

Â Â MD, Chief Human Cap. Officer Â

## **Signatures**

/s/ Sallie R. Larsen

05/08/2012

\*\*Signature of Reporting Person

Date

## **Explanation of Responses:**

#### No securities are beneficially owned

- \* If the form is filed by more than one reporting person, see Instruction 5(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).

Â

#### **Remarks:**

No securities are beneficially owned.

Derivative

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.  $34.33\ 59,275.6919\ \underline{^{(1)}}\ D$  Common Stock05/09/2005 F 5,745 D \$ 45.48 53,530.6919  $\underline{^{(1)}}\ D$  Common Stock05/09/2005 F 2,195 D \$ 45.48 53,899.6919  $\underline{^{(1)}}\ D$  Common Stock05/09/2005 M 14,934 A \$ 34.385 68,833.6919  $\underline{^{(1)}}\ D$  Common Stock05/09/2005 F 12,780 D \$ 45.48 56,053.6919  $\underline{^{(1)}}\ D$  Common Stock05/09/2005 M 5,131 A \$ 34.625 61,184.6919  $\underline{^{(1)}}\ D$  Common Stock05/09/2005 F 4,408 D \$ 45.48 56,776.6919  $\underline{^{(1)}}\ D$ 

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474

(9-02)

## Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number of	6. Date Exercisable and	7. Title and Amoun
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionDerivative		Expiration Date	Underlying Securit
Security	or Exercise		any	Code	Securities Acquired	(Month/Day/Year)	(Instr. 3 and 4)
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	(A) or Disposed of		

(D)

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Security			(Instr. 3, 4, and 5)								
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amo or Num of Sh
	Stock Option	\$ 30.18	05/09/2005	M			17,500	02/21/2004	02/21/2013	Common Stock	17,5
	Stock Option	\$ 45.48	05/09/2005	A		14,018		05/09/2005	02/21/2013	Common Stock	14,0
	Stock Option	\$ 38.75	05/09/2005	M			4,400	03/15/1997	03/15/2006	Common Stock	4,4
	Stock Option	\$ 45.48	05/09/2005	A		4,015		05/09/2005	03/15/2006	Common Stock	4,0
	Stock Option	\$ 34.33	05/09/2005	M			2,469	08/16/2002	01/31/2010	Common Stock	2,4
	Stock Option	\$ 45.48	05/09/2005	A		2,112		05/09/2005	01/31/2010	Common Stock	2,1
	Stock Option	\$ 34.33	05/09/2005	M			6,719	08/16/2002	02/16/2011	Common Stock	6,7
	Stock Option	\$ 45.48	05/09/2005	A		5,745		05/09/2005	02/16/2011	Common Stock	5,7
	Stock Option	\$ 34.385	05/09/2005	M			2,564	11/06/2003	01/31/2010	Common Stock	2,5
	Stock Option	\$ 45.48	05/09/2005	A		2,195		05/09/2005	01/31/2010	Common Stock	2,1
	Stock Option	\$ 34.385	05/09/2005	M			14,934	11/06/2003	02/16/2011	Common Stock	14,9
	Stock Option	\$ 45.48	05/09/2005	A		12,780		05/09/2005	02/16/2011	Common Stock	12,7
	Stock Option	\$ 34.625	05/09/2005	M			5,131	01/04/2000	01/04/2009	Common Stock	5,1
	Stock Option	\$ 45.48	05/09/2005	A		4,408		05/09/2005	01/04/2009	Common Stock	4,4

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
BOROMISA JEFFREY M							
P. O. BOX 3599			SVP and CFO				
BATTLE CREEK, MI 49016							

## **Signatures**

James K Markey 05/11/2005

\*\*Signature of Date
Reporting Person

## **Explanation of Responses:**

- \* 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).
- (1) Excludes dividends reinvested after 12/31/04.

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