

Bruton Derek
Form 3
May 08, 2012

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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

(Print or Type Responses)

1. Name and Address of Reporting Person *

Â Bruton Derek
(Last) (First) (Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)
05/01/2012

3. Issuer Name and Ticker or Trading Symbol
LPL Investment Holdings Inc. [LPLA]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

Director 10% Owner
 Officer Other
(give title below) (specify below)
MD, National Sales Manager

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

(Street)

BOSTON, MA 02108

(City) (State) (Zip)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)

4. Nature of Indirect Beneficial Ownership (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. Conversion or Exercise Price of Derivative

5. Ownership Form of Derivative Security:

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

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| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Security | Direct (D) or Indirect (I) (Instr. 5) | |
|---------------------------------|------------------|-----------------|--------------|----------------------------|----------|---------------------------------------|---|
| Option to purchase Common Stock | Â (1) | 03/12/2018 | Common Stock | 15,000 | \$ 27.8 | D | Â |
| Option to purchase Common Stock | Â (2) | 06/10/2018 | Common Stock | 20,000 | \$ 27.17 | D | Â |
| Option to purchase Common Stock | Â (3) | 06/12/2019 | Common Stock | 55,000 | \$ 19.74 | D | Â |
| Option to purchase Common Stock | Â (4) | 09/14/2019 | Common Stock | 40,000 | \$ 22.08 | D | Â |
| Option to purchase Common Stock | Â (5) | 12/22/2020 | Common Stock | 35,750 | \$ 34.61 | D | Â |
| Option to purchase Common Stock | Â (6) | 02/09/2022 | Common Stock | 27,686 | \$ 32.26 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Bruton Derek C/O LPL INVESTMENT HOLDINGS INC. ONE BEACON STREET, 22ND FLOOR BOSTON, MA 02108 | Â | Â | Â MD, National Sales Manager | Â |

Signatures

/s/ Derek Bruton 05/08/2012
 **Signature of Date
 Reporting Person

Explanation of Responses:

- * 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).
- (1) This option is currently exercisable as to 12,000 shares. The remaining award will become exercisable on March 12, 2013.
- (2) This option is currently exercisable as to 12,000 shares. The remaining award will become exercisable in increments of 4,000 shares on each of June 10, 2012 and 2013.
- (3) This option is not currently exercisable as to any shares. The award will become fully exercisable on June 12, 2012.
- (4) This option is currently exercisable as to 16,000 shares. The remaining award will become exercisable in increments of 8,000 shares on each of September 14, 2012, 2013, and 2014.
- (5) This option is currently exercisable as to 7,150 shares. The remaining award will become exercisable in increments of 7,150 shares on each of December 22, 2012, 2013, 2014, and 2015.
- (6) The option is not currently exercisable as to any shares. The award will become exercisable in the following increments: 5,537 on each of February 9, 2013 and 2014; 5,538 on February 9, 2015; and 5,537 on each of February 9, 2016 and 2017.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, See Instruction 6 for procedure.

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