

Kalbaugh John Andrew  
 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 Kalbaugh John Andrew  
 (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, Institution Services

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)

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

**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)            | 08/20/2017      | Common Stock | 30,000                     | \$ 25.5  | D                                     | Â |
| Option to purchase common stock | Â (2)            | 06/10/2018      | Common Stock | 10,000                     | \$ 27.17 | D                                     | Â |
| Option to purchase common stock | Â (3)            | 09/14/2019      | Common Stock | 40,000                     | \$ 22.08 | D                                     | Â |
| Option to purchase common stock | Â (4)            | 12/22/2020      | Common Stock | 19,600                     | \$ 34.61 | D                                     | Â |
| Option to purchase common stock | Â (5)            | 02/09/2022      | Common Stock | 25,635                     | \$ 32.26 | D                                     | Â |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                                  |       |
|---|---------------|-----------|----------------------------------|-------|
|   | Director      | 10% Owner | Officer                          | Other |
| Kalbaugh John Andrew<br>C/O LPL INVESTMENT HOLDINGS INC.<br>ONE BEACON STREET, 22ND FLOOR<br>BOSTON,Â MAÂ 02108 | Â             | Â         | Â MD,<br>Institution<br>Services | Â     |

## Signatures

/s/ John Andrew  
Kalbaugh

05/08/2012

\*\*Signature of Reporting Person Date

## 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 24,000 shares. The remaining award will become exercisable on August 20, 2012.
- (2) This option is currently exercisable as to 6,000 shares. The remaining award will become exercisable in increments of 2,000 shares on each of June 10, 2012 and June 10, 2013.
- (3) 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.
- (4) This option is currently exercisable as to 3,920 shares. The remaining award will become exercisable in increments of 3,920 shares on each of December 22, 2012, 2013, 2014 and 2015.
- (5) This option is not currently exercisable as to any shares. The award will become exercisable in increments of 5,127 shares on each of February 9, 2013, 2014, 2015, 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. 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.