

LPL Investment Holdings Inc.

Form 8-K

November 03, 2010

Table of Contents

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

FORM 8-K

CURRENT REPORT

**Pursuant to Section 13 or 15(d) of
The Securities Exchange Act of 1934**

Date of Report (Date of earliest event reported): November 3, 2010

LPL Investment Holdings Inc.

(Exact name of registrant as specified in its charter)

Delaware
(State or other jurisdiction
of incorporation)

000-52609
(Commission File Number)

20-3717839
(IRS Employer Identification No.)

**One Beacon Street
Boston MA**
(Address of principal executive offices)

02108
(Zip Code)

Registrant's telephone number, including area code: **(617) 423-3644**
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 registrant under any of the following provisions:

- o Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
 - o Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
 - o Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
 - o Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))
-

TABLE OF CONTENTS

Item 8.01. Other Events.

SIGNATURE

Table of Contents**Item 8.01. Other Events.**

The following table sets forth certain information with respect to the beneficial ownership of LPL Investment Holdings Inc. s (the Company) common stock as of October 19, 2010 for certain selling stockholders who are participating in the offering as described in the Company s Registration Statement on Form S-1 initially filed June 4, 2010, as amended (the Registration Statement).

For each of the selling stockholders listed below, to the extent such selling stockholder is exercising options or warrants on a cashless basis in order to participate in the offering, we have assumed a net exercise price based on the assumed initial public offering price of \$28.50 per share, which is the midpoint of the range listed on the cover page of the prospectus included in the Registration Statement. A \$1.00 increase in the assumed initial public offering price of \$28.50 per share would increase the aggregate number of shares sold by the selling stockholders listed in the Registration Statement and below by 29,230. A \$1.00 decrease in the assumed initial public offering price of \$28.50 per share would decrease the aggregate number of shares sold by the selling stockholders listed in the Registration Statement and below by 31,346.

The number of shares beneficially owned by each of the selling stockholders listed below is determined under rules issued by the Securities and Exchange Commission. Under these rules, beneficial ownership includes any shares as to which the individual or entity has sole or shared voting power or investment power. Each of the selling stockholders listed below has sole voting and investment power with respect to the shares beneficially owned by the selling stockholder, subject to community property laws where applicable.

None of the selling stockholders listed below beneficially owns more than one percent of the Company s common stock. The percentage of common stock beneficially owned by each selling stockholder is based on 94,249,754 shares of common stock outstanding as of October 19, 2010. Shares of common stock that may be acquired within 60 days following October 19, 2010 pursuant to the exercise of options or warrants are deemed to be outstanding for the purpose of computing the percentage ownership of such holder but are not deemed to be outstanding for computing the percentage ownership of any other person shown in the table.

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering			Number of Shares Offered	Common Stock Beneficially Owned After This Offering		
	Number	Exercisable within 60 days	Aggregate		Number	Exercisable within 60 days	Aggregate
Rochelle L Putnam		734,700	734,700	368,039	327,373		327,373
Scott M Miller		320,600	320,600	194,258		112,600	112,600
Joseph P Tuorto		288,520	288,520	177,734		100,982	100,982
Charles W Maher	100	221,290	221,390	86,674	115,659		115,659
Stephanie L. Brown Grantor Retained Annuity Trust of 2009	217,202		217,202	32,580	184,622		184,622
Amy L Wong		206,360	206,360	28,022		176,360	176,360
Kenneth C Muntz	20,040	185,370	205,410	93,770	20,040	85,370	105,410
Carlyle Mezzanine Partners, L.P.	198,107		198,107	99,053	99,054		99,054
Scott Collins		186,330	186,330	112,917		66,515	66,515
Mary E Fisher		181,840	181,840	110,647		63,644	63,644
David J Freniere		181,310	181,310	106,182		68,658	68,658

Edgar Filing: LPL Investment Holdings Inc. - Form 8-K

Stephen A Pirigy		176,310	176,310	53,803		119,540	119,540
Gina M Steele		173,650	173,650	93,592		73,450	73,450
William P Morrissey		166,820	166,820	65,725		96,701	96,701
Andrew J Duggan	156,458		156,458	101,698	54,760		54,760
Christopher Defrank		151,940	151,940	53,689		95,290	95,290
Robert D Ruppel		148,930	148,930	91,564		52,125	52,125
Kandis K Bates		142,250	142,250	79,853		57,100	57,100
Keith H Fine		137,970	137,970	83,830		49,199	49,199
George Fekete		134,080	134,080	28,963		103,070	103,070
Michael T Hope	3,340	118,560	121,900	71,969	3,340	41,496	44,836
John M Taylor		103,530	103,530	60,649	36,061		36,061
Thomas M Berry		100,190	100,190	61,720		35,066	35,066
Leon Lee		99,850	99,850	51,709		44,932	44,932
Brian J Desmond		86,830	86,830	53,015		30,390	30,390
Carolyn A Mooney		86,830	86,830	51,170	30,390		30,390
James P Norwood		82,650	82,650	48,661		30,553	30,553
Ronald L Carson Jr	74,930	459	75,389	48,705	26,225	459	26,684
Andrew Valerie		73,430	73,430	44,515		25,700	25,700
Beverly M Barth	6,300	66,790	73,090	40,521	6,300	23,377	29,677
Jennifer R Dutton		72,800	72,800	34,345		36,040	36,040
Jeffrey A Nash		68,600	68,600	9,275	1,000	57,600	58,600
Susan C Kaplan	64,670	627	65,297	42,036	22,634	627	23,261
Dawn J Basore		65,130	65,130	39,632		22,795	22,795
Daniel F Schuck		63,580	63,580	13,618		49,060	49,060
Robert I Fragasso	60,420	603	61,023	23,000	37,420	603	38,023
Daniel J Kilroy		57,090	57,090	32,896		19,982	19,982
John M Kail		55,440	55,440	31,176		22,040	22,040
Anthony G Valeri		54,090	54,090	32,279		19,581	19,581
John J Waldron	50,740	744	51,484	32,981	17,759	744	18,503
Allison H Harris		49,750	49,750	30,602		17,412	17,412
Donna Lynne H Nauss	14,700	33,730	48,430	30,015	5,145	11,806	16,951
James F McGuire		48,250	48,250	29,324		16,887	16,887
Stephen R Langlois		48,070	48,070	26,280		19,426	19,426
Sheila C Woelfel	46,760		46,760	30,394	16,366		16,366
Herbert M Gilbert Jr	45,920	325	46,245	29,848	16,072	325	16,397
William E Walcher	500	44,080	44,580	18,533	175	22,040	22,215
Salvatore S Zambito		42,740	42,740	24,800		16,259	16,259
Todd A Feltz	42,160	400	42,560	27,404	14,756	400	15,156
Tracy L Gallman		42,400	42,400	20,087		20,691	20,691

Table of Contents

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering			Common Stock Beneficially Owned After This			
	Number	Stock Options		Number of Shares Offered	Offering Stock Options		
		Exercisable within 60 days	Aggregate		Number	Exercisable within 60 days	Aggregate
Kerrick W Bubb	41,170	364	41,534	12,000	29,170	364	29,534
Dora L Wood		40,580	40,580	24,334		14,528	14,528
John S Kerr	39,040	415	39,455	13,000	26,040	415	26,455
Karl H Romero	38,820	363	39,183	25,233	13,587	363	13,950
Terry A Danner		37,740	37,740	22,869		13,209	13,209
Brad S Fryer		37,400	37,400	20,278		15,690	15,690
William Zagozewski	3,600	33,400	37,000	21,478	2,400	11,690	14,090
John F Reutemann Jr	36,540	253	36,793	23,751	12,789	253	13,042
Chad D Perry		36,784	36,784	5,106		28,784	28,784
Scott P Elliott	36,740		36,740	23,881	12,859		12,859
Steven M Booren	35,190	385	35,575	14,190	21,000	385	21,385
Joan M Valenti	33,870	455	34,325	13,870	20,000	455	20,455
Addison A Barksdale	34,040		34,040	22,126	11,914		11,914
Lawrence D Silverman	33,350	74	33,424	21,678	11,672	74	11,746
Daniel G Gensler	32,960	246	33,206	9,888	23,072	246	23,318
Mark S Winthrop	32,730	454	33,184	20,500	12,230	454	12,684
Gene F Goldman		33,060	33,060	6,223		26,380	26,380
Marc H Stone	32,170	247	32,417	19,300	12,870	247	13,117
Mark R Brown	31,600	320	31,920	20,540	11,060	320	11,380
Jenny R Gloss		31,810	31,810	16,455		14,448	14,448
Daniel W Pinkerton	31,520	285	31,805	20,480	11,040	285	11,325
Jeffrey A Hallberg	1,000	30,710	31,710	7,957	350	23,000	23,350
John A Guthery		31,560	31,560	16,817		13,560	13,560
Ioannis Bousnakis		31,040	31,040	18,255		11,514	11,514
Stephen F Eldridge	29,180	283	29,463	14,590	14,590	283	14,873
Laila S Marshall-Pence	28,200	199	28,399	14,200	14,000	199	14,199
Laurie J Stack		28,220	28,220	14,405		12,803	12,803
Steven H Lecoultre	28,100	21	28,121	18,100	10,000	21	10,021
Terri L Payne	25,640	1,000	26,640	2,040	23,600	1,000	24,600
Craig J Snyder	25,470	404	25,874	14,000	11,470	404	11,874
Robert J Floe	25,340	277	25,617	7,600	17,740	277	18,017
David M Nelson	25,020	201	25,221	16,263	8,757	201	8,958
Gary R Campbell	24,660	357	25,017	10,660	14,000	357	14,357
Doug M Oglesby		24,240	24,240	14,156		9,134	9,134
Amanda C Hawley		24,040	24,040	7,479		16,024	16,024
Brian C Caldwell		23,880	23,880	10,989		12,190	12,190
Camilla E Neri	22,140	183	22,323	10,600	11,540	183	11,723
Herbert S Shiraiishi	22,070		22,070	14,346	7,724		7,724

Edgar Filing: LPL Investment Holdings Inc. - Form 8-K

Jeffrey A Buchbinder		21,030	21,030	2,872		18,000	18,000
Earl B Winthrop	20,400	239	20,639	13,250	7,150	239	7,389
Janice K Hobbs	20,180	207	20,387	7,063	13,117	207	13,324
Frances M Comarsh-Hein		20,370	20,370	5,901		14,030	14,030
Carol L Rogers	20,040	283	20,323	13,026	7,014	283	7,297
George F Daly		20,040	20,040	10,275		9,040	9,040
James O Lunney	19,420	288	19,708	12,623	6,797	288	7,085
Thomas C Scott	19,390	237	19,627	12,604	6,786	237	7,023
Tuttie A Fusco	19,300	319	19,619	12,545	6,755	319	7,074
Robert T Haller	18,970	212	19,182	8,500	10,470	212	10,682
Robert B Mauterstock Jr	18,960	132	19,092	9,480	9,480	132	9,612
Michael J Hirthler	18,760	44	18,804	12,194	6,566	44	6,610
Robert O Graves	18,520	216	18,736	9,260	9,260	216	9,476
Kevin M Keefe		18,200	18,200	10,876		6,370	6,370
Deborah L Danielson	17,840	335	18,175	7,734	10,106	335	10,441
Regina A Bolvin	17,920	205	18,125	5,000	12,920	205	13,125
Leonard G Rickey	17,760	276	18,036	8,880	8,880	276	9,156
Robert D Oros		18,000	18,000	273		11,500	11,500
Carol Y Godsave	17,560	239	17,799	11,400	6,160	239	6,399
Steven L Vanhouten	17,490	228	17,718	10,000	7,490	228	7,718
Kevin P Holland	17,460	163	17,623	11,349	6,111	163	6,274
James E Bashaw	16,820	379	17,199	6,000	10,820	379	11,199
Carole R Ford	16,780	370	17,150	10,907	5,873	370	6,243
Garrett A Ahrens	16,690	347	17,037	10,849	5,841	347	6,188
Don Giovanello	16,730	199	16,929	8,365	8,365	199	8,564
Ross R Pake	16,710	208	16,918	6,210	10,500	208	10,708
Thomas E Vaughan	16,730	183	16,913	10,875	5,855	183	6,038
Stephen M Henry	16,680	227	16,907	6,680	10,000	227	10,227
Yvonne Redmond	16,690	150	16,840	10,849	5,841	150	5,991
Wayne E Warner	16,610	179	16,789	6,010	10,600	179	10,779
David J Petoskey	16,470	231	16,701	6,470	10,000	231	10,231
David T Reilly		16,700	16,700	5,605		10,700	10,700

Table of Contents

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering				Common Stock Beneficially Owned After This		
	Number	Stock Options		Number of Shares Offered	Offering Stock Options	Offering	
		Exercisable within 60 days	Aggregate			Number	days
Peter F Tedstrom	16,350	209	16,559	10,627	5,723	209	5,932
Frank T Patzke	16,260	231	16,491	10,569	5,691	231	5,922
Alison H. Spalding Trust	16,364		16,364	2,455	13,909		13,909
Gerald F Conway	15,840	163	16,003	7,920	7,920	163	8,083
William H Stevens	15,790	210	16,000	10,264	5,526	210	5,736
Peter F Reinecke	15,790	142	15,932	10,264	5,526	142	5,668
Michael P Hatch	15,660	236	15,896	7,830	7,830	236	8,066
Erny G Malakoff	15,570	320	15,890	5,000	10,570	320	10,890
Sybil M Praski	15,510	197	15,707	10,000	5,510	197	5,707
Donald J Phillips	15,230	188	15,418	9,900	5,330	188	5,518
Tracy M Spaeth	15,370		15,370	9,991	5,379		5,379
Kevin M Hogan		15,360	15,360	9,151		5,376	5,376
William J Hastie Jr.	15,060	237	15,297	6,250	8,810	237	9,047
Carlo A Panaccione	14,860	286	15,146	4,360	10,500	286	10,786
Austin A Frye	14,740	207	14,947	6,740	8,000	207	8,207
Philip C Benedict	14,770	166	14,936	9,601	5,169	166	5,335
Leonard T Berard	14,730	144	14,874	9,575	5,155	144	5,299
Richard D Tanner	14,690	77	14,767	3,000	11,690	77	11,767
Vernon Sanftner	14,480	252	14,732	9,412	5,068	252	5,320
Angelo Talebi	14,320	286	14,606	9,308	5,012	286	5,298
Theodore R Massaro Jr	14,360	246	14,606	8,000	6,360	246	6,606
Lynn Ballou	14,380	129	14,509	9,347	5,033	129	5,162
Peter W Gillies		14,360	14,360	8,112		5,676	5,676
James J Dempsey		14,360	14,360	2,292		11,860	11,860
Christopher J McCutcheon		14,350	14,350	8,696		5,022	5,022
Robert E Tucker III	13,980	244	14,224	8,250	5,730	244	5,974
Edward R Maher	13,940	250	14,190	6,540	7,400	250	7,650
David J Workman	13,900	176	14,076	9,000	4,900	176	5,076
John R Milder		14,010	14,010	5,963		7,504	7,504
Charles S. Fry	14,000		14,000	9,100	4,900		4,900
Claudia J Jacques-Soto	13,760	182	13,942	8,944	4,816	182	4,998
Daniel P Feltz	13,640	252	13,892	6,640	7,000	252	7,252
Richard J Urciuoli	13,640	218	13,858	6,820	6,820	218	7,038
Mark S Rothstein	13,800		13,800	8,970	4,830		4,830
Joseph W Rocco Jr	13,660	123	13,783	4,660	9,000	123	9,123
Timothy G Shealy	13,600	126	13,726	8,840	4,760	126	4,886
Robert G Brochu	13,420	289	13,709	4,500	8,920	289	9,209
Pamela A Benzer	13,300	377	13,677	8,645	4,655	377	5,032

Edgar Filing: LPL Investment Holdings Inc. - Form 8-K

David W Latko	13,450	224	13,674	8,450	5,000	224	5,224
Jeffrey P Vincent	13,430	122	13,552	7,500	5,930	122	6,052
Michael W Hamm		13,360	13,360	8,112		4,676	4,676
Matthew McGinness		13,360	13,360	7,959		4,676	4,676
Todd P Adams	13,090	253	13,343	8,509	4,581	253	4,834
Bradford L Cornell	1,770	11,500	13,270	1,320	619	11,000	11,619
Harold D Stephenson	13,120	148	13,268	8,528	4,592	148	4,740
Jeff S White	13,040	226	13,266	8,475	4,565	226	4,791
Jeffrey J Schmeltkopf	13,070	179	13,249	8,496	4,574	179	4,753
Paul S King	12,990	153	13,143	8,440	4,550	153	4,703
Thavaselan Subramaniam	12,930	194	13,124	5,000	7,930	194	8,124
John M Cartolano Jr	12,840	238	13,078	7,840	5,000	238	5,238
Lewis T Lazarus	12,890	137	13,027	8,379	4,511	137	4,648
Graham C Parsons II	12,750	253	13,003	6,375	6,375	253	6,628
Roy E Williams Jr	12,570	375	12,945	8,171	4,399	375	4,774
Michael J Ward	12,720	206	12,926	6,360	6,360	206	6,566
Kent D Kuhlmann	12,800	120	12,920	8,320	4,480	120	4,600
Sean P Mcdermott	12,630	283	12,913	7,630	5,000	283	5,283
Steven E Linden	12,560	141	12,701	7,560	5,000	141	5,141
Mark S Schupbach	12,420	264	12,684	6,210	6,210	264	6,474
Lawrence H Hatch		12,680	12,680	6,123		6,000	6,000
Edward J Lambert	12,500	163	12,663	8,100	4,400	163	4,563
Ian M Weinberg	12,400	254	12,654	6,200	6,200	254	6,454
Robert R Bennie Jr	12,370	185	12,555	8,041	4,329	185	4,514
William L Litton II	12,230	301	12,531	7,950	4,280	301	4,581
Kevin M Nichols	12,280	163	12,443	7,982	4,298	163	4,461

4

Table of Contents

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering				Common Stock Beneficially Owned After This			
	Stock Options		Aggregate	Number of Shares Offered	Offering Stock Options		Aggregate	
	Number	Exercisable within 60 days			Number	Exercisable within 60 days		
Scott A Shelton	12,160	193	12,353	7,904	4,256	193	4,449	
Sharon L. Dey Trust	12,273		12,273	1,841	10,432		10,432	
Victoria L. Boyer Trust	12,273		12,273	1,841	10,432		10,432	
George M Dorvillier	11,990	236	12,226	5,000	6,990	236	7,226	
Vance L Neal	11,960	162	12,122	7,774	4,186	162	4,348	
Paul I Jeffery	11,990	125	12,115	7,000	4,990	125	5,115	
Robert A Villanova Sr	11,940	153	12,093	7,761	4,179	153	4,332	
Keith A Tyner	11,920	138	12,058	7,700	4,220	138	4,358	
William C Newell	11,950		11,950	6,950	5,000		5,000	
Carole J Peck	11,640	159	11,799	6,500	5,140	159	5,299	
Barry M Freedman	11,780		11,780	5,000	6,780		6,780	
Tad M Weiss	11,570	197	11,767	7,521	4,049	197	4,246	
Kevin S Hatch	11,510	237	11,747	5,180	6,330	237	6,567	
Daniel J Murphy Jr	11,400	171	11,571	7,410	3,990	171	4,161	
Brent L Forrest	11,370	172	11,542	4,550	6,820	172	6,992	
David J Dowgialo	11,390	137	11,527	7,404	3,986	137	4,123	
Emmanuel D Harris Sr	11,240	162	11,402	2,500	8,740	162	8,902	
Terry B Wells	11,150	245	11,395	3,650	7,500	245	7,745	
Michael R Howell	11,150	241	11,391	7,245	3,905	241	4,146	
Michael W Boone	11,150	192	11,342	7,248	3,902	192	4,094	
Jim D Pinkston	11,200	132	11,332	6,200	5,000	132	5,132	
David A Peterson	10,940	341	11,281	2,140	8,800	341	9,141	
Glenn E Stephenson	11,090	188	11,278	6,090	5,000	188	5,188	
Gene Ka	11,180		11,180	7,267	3,913		3,913	
Marc S Freedman	10,870	272	11,142	3,870	7,000	272	7,272	
Guy L Bassini	10,920	163	11,083	7,098	3,822	163	3,985	
Brad L Griswold	10,800	255	11,055	7,000	3,800	255	4,055	
Barbara L Geltmaker	10,740	167	10,907	4,240	6,500	167	6,667	
Steven M Peaslee	10,720		10,720	6,968	3,752		3,752	
Irene S Triffitt		10,690	10,690	6,469		3,741	3,741	
Bentley T Beard	10,430	241	10,671	5,000	5,430	241	5,671	
Douglas E Oakeson	10,440	223	10,663	6,786	3,654	223	3,877	
Alejandro C Trejo	10,450	168	10,618	5,000	5,450	168	5,618	
Kerwin D Thiessen	10,470	129	10,599	6,800	3,670	129	3,799	
Marc L Reisman	10,400	152	10,552	6,760	3,640	152	3,792	
Brandon E Harrison	10,350	187	10,537	3,500	6,850	187	7,037	
Mark D Vanleeuwen	10,310	202	10,512	4,000	6,310	202	6,512	
Neil E Elmouchi	10,290	217	10,507	4,790	5,500	217	5,717	

Edgar Filing: LPL Investment Holdings Inc. - Form 8-K

Richard E Ozols	10,340	139	10,479	6,721	3,619	139	3,758
Brian M Bernatchez	10,250	217	10,467	5,000	5,250	217	5,467
David W Shepherd	10,200	246	10,446	6,630	3,570	246	3,816
Russell E Charvonia	10,150	205	10,355	4,000	6,150	205	6,355
Jane R Everingham	10,170	161	10,331	6,610	3,560	161	3,721
Gerald Sudderth	10,180	131	10,311	6,500	3,680	131	3,811
Fred G Wicht	10,160	149	10,309	5,080	5,080	149	5,229
Richard P Goblirsch	10,130	144	10,274	5,130	5,000	144	5,144
Eileen Pembroke	3,340	6,880	10,220	6,119	3,507	200	3,707
Mark D Vanderhagen	9,970	186	10,156	6,470	3,500	186	3,686
William H Crew III	9,910	189	10,099	6,441	3,469	189	3,658
Daniel C Davis	9,850	191	10,041	6,400	3,450	191	3,641
Lou A Dreyer		10,020	10,020	6,084		3,507	3,507
Phillip H Lieberman	10,010		10,010	6,507	3,503		3,503
Ronald N Lazzaro	9,810	194	10,004	2,900	6,910	194	7,104
Kathleen D VanNoy-Pineda		10,000	10,000	478		8,700	8,700
George R Pierce	9,710	269	9,979	6,312	3,398	269	3,667
Calvin C Garvin	9,790	138	9,928	6,364	3,426	138	3,564
Don M Hosack	9,760	144	9,904	4,880	4,880	144	5,024
Patricia A Bliss	9,720	177	9,897	4,860	4,860	177	5,037
Edward F Heagen	9,680	208	9,888	6,280	3,400	208	3,608
Allen P Petway Jr	9,750	133	9,883	6,338	3,412	133	3,545
Kathleen A Boyle	9,740	143	9,883	6,331	3,409	143	3,552
Steven R Green	9,700	157	9,857	6,200	3,500	157	3,657
Daniel T Foran	9,600	252	9,852	6,240	3,360	252	3,612
Christopher J Neubert	9,630	221	9,851	5,300	4,330	221	4,551
James B Twining	9,650	160	9,810	6,273	3,377	160	3,537
Harold F Neville Jr	9,600	135	9,735	6,000	3,600	135	3,735
David B Haire	9,490	218	9,708	6,169	3,321	218	3,539

Table of Contents

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering				Common Stock Beneficially Owned After This		
	Number	Stock Options		Number of Shares Offered	Number	Offering Stock Options	
		Exercisable within 60 days	Aggregate			Exercisable within 60 days	Aggregate
Perry L Phaneuf		9,680	9,680	468		9,180	9,180
Joseph C Edwards	9,520	156	9,676	4,800	4,720	156	4,876
James B Pierik	9,510	152	9,662	5,000	4,510	152	4,662
Kevin R Wichman	9,510	132	9,642	3,000	6,510	132	6,642
Charles R Hearn	9,470	160	9,630	6,156	3,314	160	3,474
Thomas C Grella	9,380	181	9,561	2,345	7,035	181	7,216
Sidney J Lorio Jr	9,420	133	9,553	6,123	3,297	133	3,430
Edward J King	9,360	188	9,548	1,872	7,488	188	7,676
Bruce N Goodman	9,370	146	9,516	4,685	4,685	146	4,831
Stewart L Flaherty	9,370	121	9,491	6,000	3,370	121	3,491
Erik S Davis	9,320	155	9,475	3,320	6,000	155	6,155
Raymond K Dexter	9,310	153	9,463	4,655	4,655	153	4,808
Rod H Kamps	9,290	167	9,457	5,290	4,000	167	4,167
Stephen L Roberts	9,260	164	9,424	2,000	7,260	164	7,424
James R Mcquillan	9,230	164	9,394	6,000	3,230	164	3,394
Chad A Keim	9,240	149	9,389	2,240	7,000	149	7,149
Gary A Bramon	9,210	132	9,342	5,987	3,223	132	3,355
David W Deutsch	9,160	141	9,301	4,660	4,500	141	4,641
Timothy J O Connor	9,040	214	9,254	5,400	3,640	214	3,854
Karla J Eastling	9,130	115	9,245	5,130	4,000	115	4,115
Greg R Solis	9,060	166	9,226	4,500	4,560	166	4,726
Jerry M Bagby	9,070	147	9,217	5,896	3,174	147	3,321
Birindar S Chawla	9,050	141	9,191	5,883	3,167	141	3,308
William C O Connor	8,930	219	9,149	5,730	3,200	219	3,419
James F Bogart	8,990	149	9,139	5,844	3,146	149	3,295
Jeffrey A Cavender	8,970	135	9,105	5,831	3,139	135	3,274
Edward A Metz	8,960	140	9,100	5,824	3,136	140	3,276
Scott D Carson	8,920	141	9,061	5,798	3,122	141	3,263
Robin B Davidson	9,046		9,046	5,000	4,046		4,046
Robert D White	8,900	145	9,045	5,785	3,115	145	3,260
Michael E Ghelfi	8,760	266	9,026	5,694	3,066	266	3,332
Jeffrey M Goyette Sr	8,840	150	8,990	5,000	3,840	150	3,990
Donald E Simmons	8,820	148	8,968	3,820	5,000	148	5,148
Robert G Shambora	8,820	138	8,958	5,720	3,100	138	3,238
John H Graves	8,850	104	8,954	4,850	4,000	104	4,104
Douglas C Stafford	8,810	132	8,942	3,100	5,710	132	5,842
Reginald A Armstrong	8,660	188	8,848	4,404	4,256	188	4,444
Alan A Ioffredo	8,680	166	8,846	5,642	3,038	166	3,204

Edgar Filing: LPL Investment Holdings Inc. - Form 8-K

Mark J Angelo	8,690	155	8,845	3,900	4,790	155	4,945
Frank K Chase Jr	8,650	147	8,797	4,325	4,325	147	4,472
Dennis S Kersten	8,620	132	8,752	5,000	3,620	132	3,752
John E Mc Killen	8,740		8,740	2,000	6,740		6,740
William E Bishoff	8,550	163	8,713	5,550	3,000	163	3,163
Mark A Barrett	8,440	256	8,696	5,486	2,954	256	3,210
Mark K Durham	8,540	129	8,669	5,551	2,989	129	3,118
Kenneth W Van Leeuwen	8,490	168	8,658	3,890	4,600	168	4,768
John J Masus	8,500	143	8,643	3,655	4,845	143	4,988
Michael J Lerner	8,470	170	8,640	5,506	2,964	170	3,134
Ruth A Guillaume	8,640		8,640	4,000	4,640		4,640
John E Day Jr	8,480	151	8,631	3,392	5,088	151	5,239
Craig A Bernard	8,430	122	8,552	1,480	6,950	122	7,072
Michael S Bohmer	8,330	213	8,543	3,500	4,830	213	5,043
Charles R Haas Jr	8,390	131	8,521	5,454	2,936	131	3,067
Rebecca M Hergenroeder	8,350	167	8,517	5,000	3,350	167	3,517
George S Urist	8,360	147	8,507	5,434	2,926	147	3,073
Henry Sanchez		8,500	8,500	773		2,975	2,975
Edward Miller		8,500	8,500	26		7,850	7,850
Dorothy I Bickling	8,320	174	8,494	5,408	2,912	174	3,086
Thomas J Ouellette	8,340	148	8,488	4,000	4,340	148	4,488
Harold S Shrier	8,330	151	8,481	2,500	5,830	151	5,981
Kevin P Supka	8,180	283	8,463	4,000	4,180	283	4,463
Thomas H Ruggie	8,230	232	8,462	5,350	2,880	232	3,112
Douglas J Armstrong	8,430		8,430	5,430	3,000		3,000
Elizabeth A Emr	8,220	158	8,378	5,343	2,877	158	3,035
John P Overland	8,250	126	8,376	5,363	2,887	126	3,013
Bethany J Bryant		8,350	8,350	3,149		5,000	5,000
Carl M Sacchetti Jr	8,200	129	8,329	5,330	2,870	129	2,999
Michael J Williams	8,160	151	8,311	5,300	2,860	151	3,011
John V Picone	8,180	129	8,309	5,317	2,863	129	2,992
Harry M Barth	8,140	134	8,274	5,291	2,849	134	2,983
Arthur M Sgroi Jr	8,150	122	8,272	2,853	5,297	122	5,419
Michael R Myers	8,270		8,270	5,376	2,894		2,894

Table of Contents

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering			Common Stock Beneficially Owned After This Offering			
	Number	Stock Options		Number of Shares Offered	Stock Options		
		Exercisable within 60 days	Aggregate		Number	Exercisable within 60 days	Aggregate
John T Mynatt	6,190	2,077	8,267	3,095	3,095	2,077	5,172
Michael P Dunham	8,240		8,240	5,356	2,884		2,884
Andrew D Horowitz	8,110	122	8,232	4,110	4,000	122	4,122
Dudley H Otey	8,050	155	8,205	4,450	3,600	155	3,755
Shaun T Scott	8,050	135	8,185	5,233	2,817	135	2,952
David L Johanson	8,170		8,170	5,311	2,859		2,859
Christopher J Downey	8,010	159	8,169	3,000	5,010	159	5,169
Joseph H Stumm	7,970	179	8,149	3,100	4,870	179	5,049
David L Weible	8,010	137	8,147	5,207	2,803	137	2,940
Harvey S Berk	8,030	108	8,138	4,000	4,030	108	4,138
Alan C Hicks	7,960	164	8,124	5,174	2,786	164	2,950
Jeffrey A Cashmore	7,900	223	8,123	4,500	3,400	223	3,623
Randal A Perrier	7,930	144	8,074	5,155	2,775	144	2,919
James A Gunn Jr	7,910	128	8,038	5,142	2,768	128	2,896
William F Cappel	7,980	29	8,009	4,500	3,480	29	3,509
John J Canally		8,000	8,000	1,100		3,125	3,125
David P Olsen	7,850	143	7,993	4,226	3,624	143	3,767
Douglas W Kaats	7,990		7,990	5,194	2,796		2,796
Amy L Noel	7,830	151	7,981	5,090	2,740	151	2,891
James D Crosson	7,980		7,980	5,187	2,793		2,793
David E Kirkby	7,820	151	7,971	5,083	2,737	151	2,888
Beverly B Huber	7,820	144	7,964	1,000	6,820	144	6,964
Joan B Fuetsch	7,820	132	7,952	5,083	2,737	132	2,869
Michael G Botwinick	7,720	181	7,901	5,000	2,720	181	2,901
David J Abbs	7,660	240	7,900	4,970	2,690	240	2,930
George W Keever IV	7,740	152	7,892	5,031	2,709	152	2,861
Douglas B Leeson	7,700	182	7,882	5,005	2,695	182	2,877
Rose I Greene	7,750	125	7,875	5,000	2,750	125	2,875
Howard E Pakola	7,710	149	7,859	5,012	2,698	149	2,847
Vince G Covino	7,850		7,850	5,103	2,747		2,747
Ronald L Ricci	7,730	117	7,847	3,865	3,865	117	3,982
Craig G Bolanos Jr	7,620	192	7,812	2,667	4,953	192	5,145
Michael E Mullis	7,620	182	7,802	4,500	3,120	182	3,302
Robert J Miller II	7,690	112	7,802	2,690	5,000	112	5,112
Michael W Sigmon	7,650	117	7,767	2,450	5,200	117	5,317
Robert M Ellis	7,600	160	7,760	4,940	2,660	160	2,820
John B Leeson	7,760		7,760	3,000	4,760		4,760
Eugene L Krueger	7,620	137	7,757	4,953	2,667	137	2,804

Edgar Filing: LPL Investment Holdings Inc. - Form 8-K

Cory C Kraft	7,600	156	7,756	3,200	4,400	156	4,556
Lawrence R Teichman	7,520	231	7,751	4,500	3,020	231	3,251
Steven F Carter	7,570	155	7,725	4,920	2,650	155	2,805
Cris W Tuft	7,580	144	7,724	3,032	4,548	144	4,692
Vincent C Eckelkamp	7,580	143	7,723	4,000	3,580	143	3,723
Susan Boggioni		7,720	7,720	4,302		3,027	3,027
John T Mckinney	7,550	168	7,718	4,500	3,050	168	3,218
Glenn R Goldman	7,580	135	7,715	4,100	3,480	135	3,615
Brian N Everett	7,600	106	7,706	4,940	2,660	106	2,766
Leroy V Berry	7,630	74	7,704	4,960	2,670	74	2,744
Christian P Nelson	7,580	104	7,684	4,580	3,000	104	3,104
Rosann Arguello-Tanner		7,680	7,680	2,336		5,180	5,180
Anne O Niesen	7,490	169	7,659	4,869	2,621	169	2,790
Jacquelin A Moody	7,320	332	7,652	3,750	3,570	332	3,902
David J Roberts	7,650		7,650	2,650	5,000		5,000
Kenneth W Houldsworth III	7,530	100	7,630	4,895	2,635	100	2,735
Michael F Kwiatkowski	7,480	149	7,629	1,700	5,780	149	5,929
Gayl B Hynek	7,480	127	7,607	1,870	5,610	127	5,737
Kurtis S Pearson	7,490	113	7,603	4,869	2,621	113	2,734
William V Sheehy III	7,460	143	7,603	2,460	5,000	143	5,143
David C Howell	7,430	158	7,588	2,430	5,000	158	5,158
Barbara L Wolfe	7,450	134	7,584	745	6,705	134	6,839
David M Gallagher	7,440	133	7,573	4,836	2,604	133	2,737
David G Johnston	7,389	163	7,552	3,000	4,389	163	4,552
Michael Babyak Jr	7,300	245	7,545	3,650	3,650	245	3,895
Floyd W Griffin Jr	7,380	162	7,542	3,690	3,690	162	3,852
Michael L Jones	7,540		7,540	4,901	2,639		2,639
Keith E Hamilton	7,370	170	7,540	4,000	3,370	170	3,540
Frank T Mancini	7,420	107	7,527	4,823	2,597	107	2,704
Byron P Jordan Jr	7,390	136	7,526	2,200	5,190	136	5,326
Steven S Witek	7,410	112	7,522	4,817	2,593	112	2,705

Table of Contents

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering			Common Stock Beneficially Owned After This			
	Number	Stock Options		Number of Shares Offered	Offering Stock Options		
		Exercisable within 60 days	Aggregate		Number	Exercisable within 60 days	Aggregate
Malissia A Johnson	7,380	138	7,518	3,690	3,690	138	3,828
Francis X Astorino	7,310	190	7,500	4,751	2,559	190	2,749
James A Holindrake	7,450	47	7,497	4,843	2,607	47	2,654
Elizabeth L Wilson	7,360	134	7,494	3,200	4,160	134	4,294
Thomas F Joyce Jr	7,340	138	7,478	4,771	2,569	138	2,707
David M Muilenberg	7,100	337	7,437	4,615	2,485	337	2,822
Ewald M Von Kanel	7,430		7,430	4,830	2,600		2,600
Garry S Evans	7,300	114	7,414	4,745	2,555	114	2,669
Michael E Nelson	7,210	194	7,404	4,687	2,523	194	2,717
John D Unger	7,300	101	7,401	4,745	2,555	101	2,656
Kathleen C Buys	7,280	121	7,401	3,000	4,280	121	4,401
David A Perry	7,270	116	7,386	4,700	2,570	116	2,686
Ronald D Reynolds	7,370		7,370	2,500	4,870		4,870
Michael S David	7,060	293	7,353	4,589	2,471	293	2,764
Perry E Smith	7,230	121	7,351	2,500	4,730	121	4,851
James F Horrocks	7,150	196	7,346	4,600	2,550	196	2,746
Susan B Eldridge	7,220	119	7,339	3,610	3,610	119	3,729
Douglas B Jarman	7,210	117	7,327	4,687	2,523	117	2,640
Robert J Woods	7,180	133	7,313	4,667	2,513	133	2,646
Craig E Benjamin	7,060	230	7,290	3,060	4,000	230	4,230
Michael A Manning	7,270		7,270	4,726	2,544		2,544
Sean F Curley	7,270		7,270	4,726	2,544		2,544
Donald L Richard	7,130	123	7,253	3,200	3,930	123	4,053
Bart F Carr	7,100	149	7,249	3,550	3,550	149	3,699
Dennis A Lair	7,200	46	7,246	4,680	2,520	46	2,566
Laurence I Balter	7,110	134	7,244	4,622	2,488	134	2,622
Dana K Graves	7,040	197	7,237	3,000	4,040	197	4,237
James F King Jr	7,090	135	7,225	4,609	2,481	135	2,616
Steven M Goodman	7,060	128	7,188	4,500	2,560	128	2,688
Lynn E Williams		7,180	7,180	3,980		2,838	2,838
David G Herbst	6,840	310	7,150	2,850	3,990	310	4,300
Jeffrey B Neelon	7,040	98	7,138	4,576	2,464	98	2,562
Thomas A Skees	7,060	74	7,134	4,589	2,471	74	2,545
Mathias D Summers	7,050	56	7,106	4,583	2,467	56	2,523
Garth J Terlizzi Sr	7,050	51	7,101	4,583	2,467	51	2,518
Bart B Fernelius	7,000	84	7,084	4,550	2,450	84	2,534
Philip F Rongo Jr	6,950	134	7,084	3,000	3,950	134	4,084
Kelley M Martin	6,950	130	7,080	4,450	2,500	130	2,630

Edgar Filing: LPL Investment Holdings Inc. - Form 8-K

Gregory Merlino	6,950	113	7,063	4,518	2,432	113	2,545
John B Morrow	6,950	112	7,062	4,518	2,432	112	2,544
Richard C Donahue	6,920	119	7,039	4,498	2,422	119	2,541
Kenneth E Knapp	6,910	117	7,027	4,492	2,418	117	2,535
Mark R Witek	6,860	150	7,010	4,459	2,401	150	2,551
Masumi H Tripoli	6,870	135	7,005	4,465	2,405	135	2,540
John K Weisert	6,900	102	7,002	4,400	2,500	102	2,602
Robert L Franer Jr	6,850	126	6,976	4,453	2,397	126	2,523
Daniel E Langworthy	6,830	133	6,963	1,830	5,000	133	5,133
Philip E Noble	6,700	261	6,961	4,355	2,345	261	2,606
Bruce A Larsen	6,840	120	6,960	4,444	2,396	120	2,516
Gary W Cotter	6,920	19	6,939	1,720	5,200	19	5,219
Claude M Aldridge	6,770	129	6,899	3,300	3,470	129	3,599
Gerald A Seibert	6,710	169	6,879	4,300	2,410	169	2,579
Edward J Hickey Jr	6,710	166	6,876	4,000	2,710	166	2,876
Lee S Wolfe	6,730	127	6,857	4,375	2,355	127	2,482
Edwin L Good	6,710	140	6,850	4,310	2,400	140	2,540
Peter L Graham Sr	6,730	118	6,848	4,000	2,730	118	2,848
Mark L Hopkins	6,840		6,840	1,840	5,000		5,000
Daniel E Steichen	6,690	139	6,829	4,349	2,341	139	2,480
Joel D Hooper	6,710	117	6,827	4,362	2,348	117	2,465
Bryan K Shevak	6,700	124	6,824	2,500	4,200	124	4,324
James R Senkbeil	6,680	139	6,819	4,342	2,338	139	2,477
Timothy N Bearden	6,500	296	6,796	4,200	2,300	296	2,596
Richard D Noah	6,670	125	6,795	4,000	2,670	125	2,795
Joseph A Krier	6,550	242	6,792	2,150	4,400	242	4,642
Randolph C Byrd	6,580	210	6,790	4,200	2,380	210	2,590
Thad S Pugmire	6,680	106	6,786	4,342	2,338	106	2,444
Russell E Glickstern	6,600	186	6,786	4,290	2,310	186	2,496
Laurie Z Hyland	6,780		6,780	4,407	2,373		2,373
Roger E Woodruff	6,620	146	6,766	2,620	4,000	146	4,146
Todd E Frank	6,710	42	6,752	4,362	2,348	42	2,390
Kathy A Busch	6,670	78	6,748	4,336	2,334	78	2,412
Lance E Nelson	6,600	144	6,744	4,200	2,400	144	2,544

Table of Contents

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering			Number of Shares Offered	Common Stock Beneficially Owned After This		
	Number	Stock Options			Offering Stock Options	Exercisable within 60	
		Exercisable within 60 days	Aggregate			Number	days
Kenneth P Dipaola	6,640	102	6,742	4,316	2,324	102	2,426
John A Mcewan	6,600	135	6,735	4,290	2,310	135	2,445
David R Allen	6,580	113	6,693	1,680	4,900	113	5,013
Harvey H Jacobson	6,370	316	6,686	2,548	3,822	316	4,138
John C Malyon		6,680	6,680	4,070		2,338	2,338
Karin L Wold		6,680	6,680	4,056		2,338	2,338
Brad Jacobs		6,680	6,680	3,993	2,338		2,338
Jeff Wilkerson		6,680	6,680	3,941		2,380	2,380
David Y Millican	6,680		6,680	1,680	5,000		5,000
Jeffrey L Utter	6,680		6,680	1,680	5,000		5,000
Jonathan T Lewis	6,570	107	6,677	4,270	2,300	107	2,407
Jerry J Zins Jr	6,520	156	6,676	4,238	2,282	156	2,438
Kevin D Seacat	6,560	115	6,675	4,264	2,296	115	2,411
Jason D Main	6,630	45	6,675	2,200	4,430	45	4,475
Kevin M Collier	6,490	182	6,672	4,219	2,271	182	2,453
Bryan K Chew	6,500	121	6,621	500	6,000	121	6,121
Thomas C Lee	6,620		6,620	4,300	2,320		2,320
Margaret S Kosmerl	6,490	121	6,611	4,219	2,271	121	2,392
Jeffrey C Waltz	6,610		6,610	4,297	2,313		2,313
Scott C Pandillo	6,520	57	6,577	3,520	3,000	57	3,057
Gary W Barkman	6,470	95	6,565	4,200	2,270	95	2,365
Glenn A Hruska	6,470	94	6,564	3,000	3,470	94	3,564
Craig L Soule	6,480	77	6,557	4,212	2,268	77	2,345
Lincoln S Maclise	6,440	103	6,543	4,186	2,254	103	2,357
Mitchell H Gilbert	6,390	126	6,516	4,154	2,236	126	2,362
Nicholas J Travascio III	6,440	38	6,478	4,186	2,254	38	2,292
Scott C Dingman	6,340	136	6,476	4,121	2,219	136	2,355
Paul M Decelles	6,370	105	6,475	4,141	2,229	105	2,334
Richard J Martin	6,230	241	6,471	2,055	4,175	241	4,416
John F Cicotte	6,430	40	6,470	4,180	2,250	40	2,290
Howard C Richardson	6,290	164	6,454	4,089	2,201	164	2,365
Gary R Beels	6,330	124	6,454	3,798	2,532	124	2,656
Joseph D Esposito	6,270	182	6,452	4,076	2,194	182	2,376
Jerald G Rubin	6,340	111	6,451	4,121	2,219	111	2,330
Michael T Upton	6,270	172	6,442	4,076	2,194	172	2,366
Mark W Spelts	6,210	231	6,441	4,037	2,173	231	2,404
Paige H Kerr	1,940	4,500	6,440	767	1,679	3,000	4,679
Mitchell R Martin	6,320	118	6,438	3,320	3,000	118	3,118

Edgar Filing: LPL Investment Holdings Inc. - Form 8-K

Mark I Magnuson	6,360	67	6,427	4,134	2,226	67	2,293
Joseph P Colell Jr	6,320	101	6,421	4,108	2,212	101	2,313
Jay P Irving	6,300	115	6,415	4,000	2,300	115	2,415
David J Garner	6,290	122	6,412	4,089	2,201	122	2,323
Fredrick J Livingston	6,270	140	6,410	4,075	2,195	140	2,335
Michael K Donohue	6,320	54	6,374	4,100	2,220	54	2,274
Roger D Gaddis	6,230	139	6,369	4,050	2,180	139	2,319
Michael J Dudenhoeffler	6,310	25	6,335	2,310	4,000	25	4,025
Bruce Brundige	6,230	94	6,324	1,230	5,000	94	5,094
Michael P McGillicuddy	6,310		6,310	3,000	3,310		3,310
Larry D Wiens	6,200	109	6,309	666	5,534	109	5,643
Noah A Seidenberg	6,180	128	6,308	4,017	2,163	128	2,291
Robert W Huntley	6,180	119	6,299	4,017	2,163	119	2,282
David J Reiniger	6,160	122	6,282	2,660	3,500	122	3,622
Sandra Bromfield	6,270		6,270	4,076	2,194		2,194
Dicran B Haidostian	6,050	208	6,258	2,000	4,050	208	4,258
Richard F Kraft	6,170	62	6,232	4,000	2,170	62	2,232
Kathy P Kueider	6,060	150	6,210	1,500	4,560	150	4,710
Warren D Wise	6,060	150	6,210	1,500	4,560	150	4,710
Rex R Harris Jr	6,040	121	6,161	3,920	2,120	121	2,241
Neal A Broidy	6,040	119	6,159	3,926	2,114	119	2,233

Table of Contents

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering				Common Stock Beneficially Owned After This		
	Number	Stock Options		Number of Shares Offered	Offering Stock Options		
		Exercisable within 60 days	Aggregate		Number	Exercisable within 60 days	Aggregate
Joseph D Longo	5,910	248	6,158	3,000	2,910	248	3,158
Robert A Matson	6,050	104	6,154	3,933	2,117	104	2,221
Stephen J Spoltman	6,020	118	6,138	3,913	2,107	118	2,225
Mark D Query	6,110	25	6,135	3,960	2,150	25	2,175
Brian D Fenstermaker	6,010	124	6,134	3,907	2,103	124	2,227
James W Calder	6,000	126	6,126	2,500	3,500	126	3,626
John M Doneth	6,120		6,120	3,978	2,142		2,142
Norman A Hirsch	6,120		6,120	3,978	2,142		2,142
Xceed Financial Credit Union	6,032	84	6,116	3,924	2,111	76	2,187
Gerald J Egermier	5,990	125	6,115	1,490	4,500	125	4,625
Daniel M Yuhn	6,010	104	6,114	3,010	3,000	104	3,104
David N Gaylor	6,010	87	6,097	2,010	4,000	87	4,087
Ruth G Timme	5,970	122	6,092	3,881	2,089	122	2,211
Paul E Fitzpatrick	5,970	119	6,089	3,000	2,970	119	3,089
Carey M Wolf	6,000	72	6,072	2,000	4,000	72	4,072
Ann C Frigon	5,970	100	6,070	3,880	2,090	100	2,190
Stephen J Tock	5,940	123	6,063	3,840	2,100	123	2,223
Michael W Lutz	5,920	139	6,059	3,848	2,072	139	2,211
Michael W Frank	5,950	108	6,058	3,868	2,082	108	2,190
Gary L Wageman	5,930	109	6,039	3,855	2,075	109	2,184
David A Nyquist	5,970	67	6,037	3,881	2,089	67	2,156
John A Ehardt	5,860	176	6,036	3,800	2,060	176	2,236
Michael D Goostree	5,910	109	6,019	3,842	2,068	109	2,177
Timothy J Hamano	5,920	89	6,009	3,848	2,072	89	2,161
Dean E West	5,900	102	6,002	3,835	2,065	102	2,167
David V Sommers	5,890	106	5,996	3,828	2,062	106	2,168
Richard Daniels	5,810	160	5,970	2,905	2,905	160	3,065
Suzanne H Christian	5,820	141	5,961	2,820	3,000	141	3,141
Richard L Pistulka	5,830	111	5,941	3,780	2,050	111	2,161
Robert L Waring	5,820	118	5,938	3,783	2,037	118	2,155
Jeffrey C Johnson	5,640	284	5,924	2,140	3,500	284	3,784
Nolan B Vosler Jr	5,770	149	5,919	2,400	3,370	149	3,519
Bonita L Graff	5,760	150	5,910	3,260	2,500	150	2,650
Stephen E Saraiva	5,770	128	5,898	3,468	2,302	128	2,430
Mark G Zitzelsberger	5,770	121	5,891	3,750	2,020	121	2,141
Kenneth A Sanchez	5,760	127	5,887	3,700	2,060	127	2,187
Gary R Menconi	5,670	209	5,879	3,686	1,984	209	2,193

Edgar Filing: LPL Investment Holdings Inc. - Form 8-K

Richard L Stone Jr	5,770	89	5,859	3,751	2,019	89	2,108
Jerry W Thew	5,780	71	5,851	3,757	2,023	71	2,094
Dennis M Scouten	5,810		5,810	3,777	2,033		2,033
Stephen J Kasa	5,730	72	5,802	2,579	3,151	72	3,223
Craig T Verdi	5,640	129	5,769	2,800	2,840	129	2,969
John A Willett Jr	5,560	131	5,691	3,614	1,946	131	2,077
Bradley E Sheahan	5,550	138	5,688	3,608	1,942	138	2,080
Bruce A Altheide	5,520	164	5,684	3,588	1,932	164	2,096
William C Larson	5,680		5,680	3,680	2,000		2,000
David M Brenner	5,620	59	5,679	3,620	2,000	59	2,059
William D Frier	5,560	116	5,676	1,500	4,060	116	4,176
Thomas E Weinschenker	5,520	142	5,662	2,000	3,520	142	3,662
James E Joly	5,560	91	5,651	3,614	1,946	91	2,037
Kenneth W Roberts	5,540	88	5,628	650	4,890	88	4,978
Thomas D Foy Jr	5,490	111	5,601	3,569	1,921	111	2,032
Alan M Rickert	5,470	123	5,593	3,300	2,170	123	2,293
Dennis W Stavinoha	5,520	71	5,591	3,520	2,000	71	2,071
Janetta L Graber	5,480	105	5,585	2,685	2,795	105	2,900
Ursula R Daley	5,480	102	5,582	2,500	2,980	102	3,082
John J Meo Jr	5,470	101	5,571	3,556	1,914	101	2,015
Jay S Taussig	5,520		5,520	3,588	1,932		1,932
Ronald D Davis Jr	5,520		5,520	2,684	2,836		2,836
Glenda L Nichols	5,520		5,520	2,200	3,320		3,320
Diana G Dorn		5,500	5,500	725		1,925	1,925
Andrew G Castiglione	5,490		5,490	3,490	2,000		2,000
Richard C Miller	5,370	119	5,489	2,148	3,222	119	3,341
Keith E Murphy	5,350	130	5,480	2,140	3,210	130	3,340
Louis R Berteotti	5,380	92	5,472	2,000	3,380	92	3,472
James M Mabbutt	5,300	149	5,449	3,445	1,855	149	2,004
Michael A Reed	5,280	166	5,446	1,760	3,520	166	3,686
Frank Fantozzi	5,260	171	5,431	3,419	1,841	171	2,012
Michael S Rosen	5,420		5,420	2,420	3,000		3,000
Brian J Hood	5,280	128	5,408	2,000	3,280	128	3,408
Thomas J Babcock	5,250	131	5,381	1,562	3,688	131	3,819
Robert A Young	5,250	121	5,371	3,413	1,837	121	1,958
William F Schaffnit Jr	5,200	171	5,371	1,200	4,000	171	4,171

Table of Contents

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering				Common Stock Beneficially Owned After This			
	Number	Stock Options		Number of Shares Offered	Offering Stock Options		Aggregate	
		Exercisable within 60 days	Aggregate		Exercisable within 60 days	Aggregate		
Gary A Fisher	5,370		5,370	3,470	1,900		1,900	
Jon M McGraw	5,330	38	5,368	3,465	1,865	38	1,903	
Rick J Roemer	5,250	112	5,362	2,500	2,750	112	2,862	
Clyde W Moore	5,270	66	5,336	3,425	1,845	66	1,911	
Robert J Bacino	5,140	172	5,312	3,341	1,799	172	1,971	
Marvin L Breach	5,190	114	5,304	3,374	1,816	114	1,930	
Louis P Ingargiola	5,090	200	5,290	2,500	2,590	200	2,790	
Stephanie L Hayes	5,286		5,286	3,436	1,850		1,850	
Michael J Daneau	5,260		5,260	3,419	1,841		1,841	
Dottie K Koontz	5,210	18	5,228	2,600	2,610	18	2,628	
Paul M Goodworth	5,110	115	5,225	3,050	2,060	115	2,175	
Donald S Hutchinson	5,080	132	5,212	3,302	1,778	132	1,910	
Christopher M O Gara	5,200		5,200	3,380	1,820		1,820	
Roger L Flueckiger	5,180		5,180	3,367	1,813		1,813	
Stephen L Franklin	5,180		5,180	3,367	1,813		1,813	
John M Shutowick	5,160		5,160	3,354	1,806		1,806	
Bradley E Neal	5,060	94	5,154	2,560	2,500	94	2,594	
Mark A Welch	5,130		5,130	1,130	4,000		4,000	
Jeffrey T Shaver	5,120		5,120	3,300	1,820		1,820	
Wayne A Jacobson	4,980	84	5,064	3,237	1,743	84	1,827	
Thomas Eschmann	4,930	130	5,060	2,930	2,000	130	2,130	
Charles W Ready	4,940	113	5,053	3,211	1,729	113	1,842	
Nghi T Ho	5,050		5,050	3,000	2,050		2,050	
Jeffrey L Draughon	4,870	178	5,048	3,166	1,704	178	1,882	
Lester D Butler Jr	5,000	27	5,027	3,250	1,750	27	1,777	
Rodger D Jordan	5,020		5,020	1,000	4,020		4,020	
Cory J Watson	4,870	149	5,019	3,166	1,704	149	1,853	
Michael P Murray		5,018	5,018	73		4,718	4,718	
Christopher J Wagner	4,980	37	5,017	3,237	1,743	37	1,780	
Daniel P Barbiero	4,880	134	5,014	2,440	2,440	134	2,574	
Richard F Berry Jr	5,000	10	5,010	3,250	1,750	10	1,760	
Howard D O Kelly		5,010	5,010	3,058		1,753	1,753	
Jacqueline A Teague		5,010	5,010	2,336		2,510	2,510	
Joseph W Moyer	4,890	115	5,005	3,179	1,711	115	1,826	
Joseph P Young	5,000		5,000	3,250	1,750		1,750	
Elizabeth F Warrem		5,000	5,000	399		2,075	2,075	
Aaron M Smith	4,980	17	4,997	3,237	1,743	17	1,760	
Stuart J Pastrich	4,870	123	4,993	2,870	2,000	123	2,123	

Edgar Filing: LPL Investment Holdings Inc. - Form 8-K

Brian J Teichman	4,890	101	4,991	2,445	2,445	101	2,546
David A Ziegler	4,990		4,990	3,244	1,746		1,746
David B Niles	4,910	45	4,955	2,900	2,010	45	2,055
Gregory A Powell	4,860	91	4,951	2,430	2,430	91	2,521
Michael E Lehman	4,870	32	4,902	1,000	3,870	32	3,902
Rodger F Hargear	4,830	65	4,895	3,140	1,690	65	1,755
Patty J Laplant	4,850		4,850	1,500	3,350		3,350
William C Westcott	4,670	175	4,845	3,036	1,634	175	1,809
Alexander Paul	4,650	187	4,837	3,023	1,627	187	1,814
Scott G Holley	4,670	152	4,822	3,035	1,635	152	1,787
Jeffrey E Letendre	4,780	41	4,821	3,000	1,780	41	1,821
Patrick B Morrow	4,620	180	4,800	3,003	1,617	180	1,797
Daniel P Hazewski	4,620	133	4,753	1,600	3,020	133	3,153
Arthur P Colamarino	4,650	48	4,698	3,023	1,627	48	1,675
Garren J Sepede	4,510	173	4,683	2,932	1,578	173	1,751
Elyssa C Lamoureux		4,670	4,670	2,213		2,335	2,335
Thomas R Berry	4,520	146	4,666	2,938	1,582	146	1,728
Mario E Osorio	4,590	71	4,661	1,250	3,340	71	3,411
Kathy A Howe	4,470	189	4,659	2,270	2,200	189	2,389
Paul M Hoghaug	4,540	96	4,636	2,940	1,600	96	1,696
Richard L Terrill	4,520	115	4,635	2,260	2,260	115	2,375
Scott W Doll	4,560	47	4,607	2,964	1,596	47	1,643
Dominic Nori	4,420	147	4,567	2,000	2,420	147	2,567
William T Puplava	4,540	26	4,566	2,040	2,500	26	2,526
Richard L Greene	4,420	124	4,544	2,873	1,547	124	1,671
David A Yaegers	4,520		4,520	520	4,000		4,000
Scott P Laruez Sr	4,500		4,500	2,925	1,575		1,575
William A Mcdonough	4,370	104	4,474	2,000	2,370	104	2,474
Eric J Vincent	4,400	68	4,468	2,860	1,540	68	1,608
Ron D Brown Jr	4,350	115	4,465	2,827	1,523	115	1,638

Table of Contents

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering			Common Stock Beneficially Owned After This			
	Number	Stock Options		Number of Shares Offered	Offering Stock Options		
		Exercisable within 60 days	Aggregate		Number	Exercisable within 60 days	Aggregate
Lawrence J Donna	4,370	92	4,462	2,841	1,529	92	1,621
Lisa A Bodine	4,220	235	4,455	1,772	2,448	235	2,683
Robert A Guy	4,330	107	4,437	2,815	1,515	107	1,622
Michael A Kincheloe	4,360	61	4,421	2,834	1,526	61	1,587
James A Nelson	4,260	130	4,390	2,769	1,491	130	1,621
Jerry R Gray	4,260	124	4,384	2,769	1,491	124	1,615
Bruce I Heymont	4,250	117	4,367	2,125	2,125	117	2,242
Michelle R Zaroni	3,340	1,000	4,340	2,821	519	1,000	1,519
Richard P Crean	4,200	138	4,338	2,730	1,470	138	1,608
Timothy C Byers	4,330		4,330	1,330	3,000		3,000
Vincent A Pallitto Jr	4,130	194	4,324	2,630	1,500	194	1,694
Carroll J Domangue Jr	4,200	117	4,317	2,730	1,470	117	1,587
Bruce A Sanborn	4,190	92	4,282	1,400	2,790	92	2,882
Alan J Webb	4,280		4,280	2,782	1,498		1,498
Herbert C Cumming Jr	4,270		4,270	2,776	1,494		1,494
Michael D Allard	4,040	228	4,268	2,000	2,040	228	2,268
Kameron J Carlson	4,250	17	4,267	2,763	1,487	17	1,504
John M Abood	4,170	95	4,265	2,711	1,459	95	1,554
Richard T Curran	4,210	51	4,261	2,737	1,473	51	1,524
Nancy A Carlson	4,250		4,250	2,763	1,487		1,487
Gordon L Nelson	4,090	129	4,219	2,659	1,431	129	1,560
Scott E Grooms	4,100	115	4,215	2,665	1,435	115	1,550
James W Blazek	4,180	12	4,192	2,717	1,463	12	1,475
Robert E Nichols	4,120	65	4,185	1,100	3,020	65	3,085
Paul S Thomas	4,180		4,180	2,717	1,463		1,463
Robert D Kantor	4,040	137	4,177	2,363	1,677	137	1,814
Robert A Garcia	4,040	128	4,168	2,500	1,540	128	1,668
Laurence E Lof	4,150		4,150	2,698	1,452		1,452
Samuel S Racster	4,060	64	4,124	2,639	1,421	64	1,485
Charles W Maxim	3,970	105	4,075	2,370	1,600	105	1,705
Nazanin N Ghabai		4,040	4,040	1,893	1,169	700	1,869
William S Temm Jr	3,910	125	4,035	1,955	1,955	125	2,080
Lester H Lee Jr	3,910	123	4,033	2,542	1,368	123	1,491
Richard J Ruba	3,880	141	4,021	2,522	1,358	141	1,499
Ralph H Stowell		4,000	4,000	48		2,050	2,050
Melvin S Goldstein	3,780	123	3,903	1,900	1,880	123	2,003
Rick R Moore	3,900		3,900	2,535	1,365		1,365
William M Guess	3,850	47	3,897	1,200	2,650	47	2,697

Edgar Filing: LPL Investment Holdings Inc. - Form 8-K

Douglas J Labar	3,810	83	3,893	2,410	1,400	83	1,483
Sean D Patikas-Hunter	3,820	73	3,893	1,500	2,320	73	2,393
James M Frawley	3,740	149	3,889	1,740	2,000	149	2,149
Jonathan A Blumenthal	3,710	163	3,873	2,412	1,298	163	1,461
William J Haskins	3,730	103	3,833	2,425	1,305	103	1,408
Paul K Kiker Jr	3,720	82	3,802	2,418	1,302	82	1,384
Ronald Mazzaella	3,760	30	3,790	2,444	1,316	30	1,346
John P Keeney	3,500	250	3,750	1,000	2,500	250	2,750
Sarah B Cannon	3,740		3,740	2,431	1,309		1,309
Toby J Lafont	3,640	99	3,739	2,366	1,274	99	1,373
Gregory A Korbekian	3,730		3,730	2,425	1,305		1,305
Ricky A Meyer	3,560	169	3,729	2,314	1,246	169	1,415
David R Steckler	3,720		3,720	2,400	1,320		1,320
Michael D Haverkamp	3,560	142	3,702	2,300	1,260	142	1,402
Richard D Pecson	3,590	97	3,687	2,000	1,590	97	1,687
Stephen L Temple	3,620	42	3,662	2,353	1,267	42	1,309
Grant E Hartvigson	3,530	131	3,661	700	2,830	131	2,961
Timothy H Mebane	3,530	130	3,660	1,059	2,471	130	2,601
Lee R Donais	3,650		3,650	2,372	1,278		1,278
William N Scanlon	3,560	77	3,637	2,314	1,246	77	1,323
Eric D Roth Jr	3,520	113	3,633	2,288	1,232	113	1,345
William R Flynn	3,500	117	3,617	2,000	1,500	117	1,617
Kirby L Horan		3,600	3,600	51		2,300	2,300
Marc C Davis	3,460	129	3,589	2,249	1,211	129	1,340
Peggy W Lyon	3,430	111	3,541	2,230	1,200	111	1,311
Alexander S Lambros Jr	3,530		3,530	2,295	1,235		1,235
Jacqueline J Lambros	3,530		3,530	2,295	1,235		1,235

Table of Contents

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering			Common Stock Beneficially Owned After This			
	Number	Stock Options		Number of Shares Offered	Offering Stock Options		
		Exercisable within 60 days	Aggregate		Number	Exercisable within 60 days	Aggregate
Scott W Yanker	3,380	133	3,513	1,400	1,980	133	2,113
Charles J Larocca	3,390	117	3,507	1,890	1,500	117	1,617
Robert J Comeaux Jr	3,400	105	3,505	2,210	1,190	105	1,295
Andrew D Lang	3,390	78	3,468	390	3,000	78	3,078
Gregory M Thorn	3,330	124	3,454	2,165	1,165	124	1,289
Mark A Peck	3,310	74	3,384	2,150	1,160	74	1,234
Gregory S Tarr	3,290	91	3,381	2,100	1,190	91	1,281
Trudy L Leen	3,300	59	3,359	2,145	1,155	59	1,214
Perry D Dougherty	3,220	128	3,348	1,130	2,090	128	2,218
Cezar Cruel		3,340	3,340	2,028		1,169	1,169
Marlo T Cote		3,340	3,340	2,028		1,169	1,169
Joseph S Mulkern		3,340	3,340	1,990		1,169	1,169
Timothy Murray		3,340	3,340	1,990		1,169	1,169
Michael S Lincoln	3,110	191	3,301	1,000	2,110	191	2,301
James F Steen	3,220	63	3,283	2,000	1,220	63	1,283
Keith D Green	3,260	21	3,281	2,000	1,260	21	1,281
Brian H Anderson	3,260		3,260	2,119	1,141		1,141
Francis C Bogacz	3,240	15	3,255	2,106	1,134	15	1,149
Roger L Wilson	3,140	114	3,254	1,570	1,570	114	1,684
Wallace C Burgoyne Jr	3,040	206	3,246	1,700	1,340	206	1,546
Thomas E Pewitt	3,240		3,240	2,106	1,134		1,134
Gregg C Buxton	3,190	42	3,232	2,073	1,117	42	1,159
Jerome Krantz	3,080	80	3,160	2,002	1,078	80	1,158
Terry L Hoppes	3,080	75	3,155	2,002	1,078	75	1,153
Tracy A Strous	3,010	122	3,132	1,500	1,510	122	1,632
Timothy J Mardin	3,000	126	3,126	1,950	1,050	126	1,176
Patrick K Crimmins	3,100		3,100	1,500	1,600		1,600
Richard L Carman	2,990	87	3,077	1,944	1,046	87	1,133
Todd R Walsh	3,060		3,060	1,989	1,071		1,071
Joseph I Rosenberger	2,940	119	3,059	940	2,000	119	2,119
Michael F Macrory	2,940	116	3,056	1,911	1,029	116	1,145
Paul Clayton	3,020		3,020	1,963	1,057		1,057
Allison L Couch		3,000	3,000	200		2,350	2,350
Maura M Kautsky		3,000	3,000	79		1,800	1,800
Scott E Vock		3,000	3,000	48		1,050	1,050
Francis L Schmittinger	2,990		2,990	1,944	1,046		1,046
Raymond A Erker	2,980		2,980	1,937	1,043		1,043
Robert J Holdford	2,880	57	2,937	1,872	1,008	57	1,065

Michigan							
Schools/Government Credit							
Union	2,924		2,924	1,901	1,023		1,023
Edward L Marmande	2,900		2,900	1,885	1,015		1,015
Nabil S Abdelhamid	2,840	44	2,884	1,840	1,000	44	1,044
Adam J Tobin	2,880		2,880	1,872	1,008		1,008
Vincent Morris	2,880		2,880	1,872	1,008		1,008
Michael D Beach	2,860		2,860	1,859	1,001		1,001
Salvatore P Ventimiglia	2,810	47	2,857	610	2,200	47	2,247
Poonum Vasisht	2,750	82	2,832	800	1,950	82	2,032
Duncan E Chun	2,810	5	2,815	1,810	1,000	5	1,005
Ryan T Smyth		2,800	2,800	45		980	980
Donald W Ferguson Jr	2,790		2,790	1,395	1,395		1,395
Mark A Dunn	2,690	99	2,789	1,600	1,090	99	1,189
Roger J Houston	2,690	80	2,770	675	2,015	80	2,095
Kenneth W Arutunian	2,720		2,720	1,768	952		952
Michael L Rosenberg	2,600	88	2,688	1,690	910	88	998
SAFE Credit Union	2,686		2,686	1,746	940		940
Leo Iacobelli	2,680		2,680	1,742	938		938
Jon K Cook	2,670		2,670	1,736	934		934
Anthony B Clement	2,540	36	2,576	840	1,700	36	1,736
Patricia O Kusek	2,570		2,570	1,200	1,370		1,370
Craig Watts	2,520		2,520	1,520	1,000		1,000
Richard M Marzano	2,510		2,510	510	2,000		2,000
Gary J Deardorff	2,500		2,500	1,625	875		875
Eric J Batey	2,460		2,460	600	1,860		1,860
Randy Kinchen	2,430		2,430	1,580	850		850
The Golden 1 Credit Union	2,011	171	2,182	1,321	704	134	838
B. David Goldstein	2,170		2,170	1,411	759		759
Premier America Credit							
Union	2,011	32	2,043	1,307	704	32	736
Western Corporate Federal							
Credit Union	2,011		2,011	1,307	704		704
Michael W Anderson		2,000	2,000	13		1,500	1,500
Jeff A Schuetts	1,990		1,990	990	1,000		1,000
Michael V Biggs	1,960		1,960	1,274	686		686

Table of Contents

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering				Common Stock Beneficially Owned After This		
	Number	Stock Options		Number of Shares Offered	Offering Stock Options		
		Exercisable within 60 days	Aggregate		Number	Exercisable within 60 days	Aggregate
Eli Lilly Federal Credit Union	1,810		1,810	1,177	633		633
USE Credit Union	1,810		1,810	1,177	633		633
Kristen S Whisnant		1,800	1,800	25		1,280	1,280
Nicolina A Stewart	1,780		1,780	1,157	623		623
Kevin W Lange	1,460	284	1,744	949	511	284	795
Roger A Clarkson	1,720	21	1,741	1,118	602	21	623
Scott Sinclair		1,700	1,700	26		1,050	1,050
Erin P Casey		1,600	1,600	239		950	950
Robert Rogerson	1,370	217	1,587	754	616	217	833
David J Mcmenamin	1,420	126	1,546	923	497	126	623
Laura S Sexton		1,500	1,500	26		850	850
Kerry A Pierce		1,500	1,500	20		1,000	1,000
David A Caruso	1,280	209	1,489	400	880	209	1,089
Gregory R Powell	1,220	219	1,439	793	427	219	646
Stuart Ng	1,230	114	1,344	630	600	114	714
Sharon M Olson	1,130	151	1,281	725	405	151	556
Daniel J Smith	1,130	146	1,276	550	580	146	726
Wayne D Wagner Jr	1,110	138	1,248	222	888	138	1,026
Merton C Cawood	1,110	128	1,238	722	388	128	516
Wealth Enhancement Group		1,201	1,201	134		640	640
Dushyant J Shah	1,060	102	1,162	530	530	102	632
Eric C Lee	990	137	1,127	644	346	137	483
Michael W Cartwright	1,020	71	1,091	663	357	71	428
Carlas B Allgood	990	101	1,091	590	400	101	501
Kevin J Halloran	890	201	1,091	390	500	201	701
Clark L Permann	920	144	1,064	598	322	144	466
Meredith E Flautt Jr	930	128	1,058	605	325	128	453
Thomas C Stefaniak	910	128	1,038	590	320	128	448
Robert B Glenn	910	117	1,027	592	318	117	435
John W Hardy Jr	880	146	1,026	572	308	146	454
Craig A Horner	1,020		1,020	663	357		357
William P Tyler Jr	790	227	1,017	370	420	227	647
Thomas A Konkowski	1,010		1,010	657	353		353
Jo-Anne K Graham	870	139	1,009	566	304	139	443
Abdiel A Valenzuela		1,000	1,000	16		350	350
Barbara Foster		1,000	1,000	16		350	350
Brian V Kearns	850	141	991	550	300	141	441

Edgar Filing: LPL Investment Holdings Inc. - Form 8-K

Marc A Neville	940	47	987	611	329	47	376
Ronald A Wrobel	910	71	981	300	610	71	681
Mark G Trevenna	970		970	620	350		350
Henry E Kramarski	960		960	624	336		336
Edward G Martell	880	80	960	572	308	80	388
Angus G Mceachran III	770	190	960	501	269	190	459
Scott J Kleiman	840	109	949	546	294	109	403
Jason C Holt	780	169	949	350	430	169	599
Marybeth Moran	940		940	611	329		329
James A Helfinstine	840	85	925	440	400	85	485
Southland Credit Union	905		905	588	317		317
Donald A Rich	780	117	897	300	480	117	597
Ricky E Johnson	720	176	896	468	252	176	428
James R Siegfried	720	167	887	468	252	167	419
Teresa L Flynn	870		870	566	304		304
Fran Cunningham	850		850	500	350		350
Robert L Errico	670	174	844	436	234	174	408
Ronnie M Bloom	720	113	833	468	252	113	365
Gary D Russell	740	91	831	480	260	91	351
Larry J Smith	600	222	822	300	300	222	522
Thomas W Drouin	770		770	501	269		269
Christopher L Boggs	610	158	768	200	410	158	568
Nicholas M Orobello	650	96	746	423	227	96	323
Daniel F Eckert	720		720	468	252		252
James E Hendries	660	60	720	429	231	60	291
David W Boniface Sr	560	114	674	300	260	114	374
Michael W Creatore	660		660	429	231		231
Michael P Amico	640		640	416	224		224
Gary N Holland	620		620	403	217		217

Table of Contents

Name of Beneficial Owner	Common Stock Beneficially Owned Prior to this Offering			Common Stock Beneficially Owned After This Offering			
	Number	Stock Options Exercisable within 60 days	Aggregate	Number of Shares Offered	Number	Stock Options Exercisable within 60 days	Aggregate
Russell C Johnson III	450	169	619	250	200	169	369
Lori K Lambert	510	104	614	332	178	104	282
Bobby L Yount	580	20	600	377	203	20	223
Michael J Miller		600	600	11		340	340
Robin L Weber		600	600	11		340	340
Michael P Jacobs	470	126	596	295	175	126	301
Geal F Talbert	480	103	583	312	168	103	271
Mark A Larimore	440	141	581	140	300	141	441
Geoffrey A Lanceley	460	103	563	299	161	103	264
Jeffrey R Karp	420	115	535	150	270	115	385
Ralph D Burnett	480	49	529	312	168	49	217
Sandra C Henderson		500	500	8		175	175
Everette L Talbot	370	127	497	241	129	127	256
Roger A Pugh	430	61	491	280	150	61	211
Jerry L Emmons	380	109	489	247	133	109	242
Jason J Croix	350	109	459	225	125	109	234
David J Brady	440		440	250	190		190
Jerry D Reder Jr	390	43	433	190	200	43	243
Gary A Richman	380	43	423	247	133	43	176
Steven K Atkins	380	30	410	247	133	30	163
David S Dixon	350	59	409	200	150	59	209
Thomas P Furlong	290	110	400	189	101	110	211
Steven G Crawford	290	100	390	189	101	100	201
Keith W Somers	310	53	363	202	108	53	161
ESL Investment Services LLC.		342	342	19		213	213
Paul R Hammersmith	260	75	335	169	91	75	166
Michael E Sbonik	260	69	329	169	91	69	160
Peter C Covino, III	320		320	208	112		112
Kenneth Diccico	310		310	200	110		110
Amanda J Jarvis		300	300	8		105	105
James E Secker	290		290	145	145		145
John A Gaines	280		280	182	98		98
North Island Credit Union		225	225	4		160	160
East West Bank		182	182	15		87	87
Jeffrey J Vincent	166		166	106	60		60
Superior Fed. Credit Union		91	91	10		44	44
Omni American Bank		84	84	10		29	29
Bank Of Clarke County		74	74	7		36	36

Edgar Filing: LPL Investment Holdings Inc. - Form 8-K

CNB Bank		22	22	1		8	8
Bethpage Federal Credit Union		15	15	4		5	5
People's Trust Federal Credit Union		13	13	4		4	4
Ronald E Donais		1,670	1,670			1,670	1,670
Barbara Z Peck		1,000	1,000			1,000	1,000
John J McLaughlin		900	900			900	900
John S Tuve	11,780	167	11,947		11,780	167	11,947
Christian L Webb	7,740	73	7,813		7,740	73	7,813
Israel T Jacob	6,880	107	6,987		6,880	107	6,987
James J Smith	5,650		5,650		5,650		5,650
Robert J Stark	3,160		3,160		3,160		3,160
Alfred G Kovacs	1,180		1,180		1,180		1,180
Dennis R Nolte	320	61	381		320	61	381
J.R. H Krause	830	174	1,004		830	174	1,004
Elizabeth Eastman	3,330	6,670	10,000		3,330	6,670	10,000
Julius S Hutchinson	510		510		510		510
	6,849,294	6,315,842	13,165,136	6,692,396	3,716,156	2,477,434	6,193,590

15

Table of Contents

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 INVESTMENT HOLDINGS INC.

(Registrant)

Date: November 3, 2010

/s/ Robert J. Moore

Robert J. Moore
Chief Financial Officer