

Edgar Filing: Pzena Investment Management, Inc. - Form 8-K

Pzena Investment Management, Inc.  
Form 8-K  
October 10, 2017

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): October 10, 2017 (October 9, 2017)

PZENA INVESTMENT MANAGEMENT, INC.  
(Exact Name of Registrant as Specified in its Charter)

|                 |             |                |
|-----------------|-------------|----------------|
| Delaware        | 001-33761   | 20-8999751     |
| (State or Other | (Commission | (IRS           |
| Jurisdiction of | File        | Employer       |
| Incorporation)  | Number)     | Identification |
|                 |             | Number)        |

320 Park Avenue, New York, New York 10022  
(Address of Principal Executive Offices) Zip Code

Registrant's  
Telephone  
Number,  
Including  
Area  
Code:  
(212)  
355-1600

(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:

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

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (17 CFR §230.405) or Rule 12b-2 of the Securities Exchange Act of 1934 (17 CFR §240.12b-2).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has

elected not to use  
the extended  
transition period  
for complying with  
any new or revised  
financial  
accounting  
standards provided  
pursuant to Section  
13(a) of the  
Exchange Act. o

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ITEM 8.01 OTHER EVENTS.

On October 9, 2017, Pzena Investment Management, Inc. issued a press release in which it reported its preliminary assets under management as of September 30, 2017. A copy of the press release is attached to this Form 8-K.

ITEM 9.01 FINANCIAL STATEMENTS AND EXHIBITS.

99.1 Press release, dated October 9, 2017, of Pzena Investment Management, Inc.

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SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

Pzena Investment Management,  
Inc.

Dated: October 10, 2017 By: /s/Jessica R. Doran

Name: Jessica R. Doran

Title: Chief Financial Officer

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EXHIBIT INDEX

| Exhibit<br>No. | Document  |
|----------------|---|
| 99.1           | <u>Press release, dated October 9, 2017, of Pzena Investment Management, Inc. reporting preliminary assets under management as of September 30, 2017.</u> |