

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

Pzena Investment Management, Inc.
Form 8-K
October 17, 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 17,
2017

PZENA INVESTMENT MANAGEMENT, INC.
(Exact Name of Registrant as Specified in its Charter)
Delaware 001-33761 20-8999751
(State or Other Jurisdiction of Incorporation) (Commission File Number) (IRS Employer 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 o

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

ITEM 2.02 RESULTS OF OPERATION AND FINANCIAL CONDITION.

On October 17, 2017, Pzena Investment Management, Inc. (the “Company”) issued a press release reporting its financial results for the third quarter of 2017. Copies of the press release and related attachments are furnished as Exhibit 99.1 to this Current Report.

ITEM 9.01 FINANCIAL STATEMENTS AND EXHIBITS.

(d) Exhibits

99.1 Press release, dated October 17, 2017, of Pzena Investment Management, Inc.

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 17, 2017 By: /s/ Jessica R. Doran

Name: Jessica R. Doran

Title: Chief Financial Officer

EXHIBIT INDEX

Exhibit No. Document

99.1 Press release, dated October 17, 2017, of Pzena Investment Management, Inc.