

DeSorbo Antony John
Form 3
March 15, 2019

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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 DeSorbo Antony John

(Last) (First) (Middle)

C/O MANNING & NAPIER,
INC.,Â 290 WOODCLIFF
DRIVE

(Street)

FAIRPORT,Â NYÂ 14450

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

03/05/2019

3. Issuer Name and Ticker or Trading Symbol
Manning & Napier, Inc. [MN]

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)

See Remarks

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)

Class A Common Stock, par value \$0.01

76,243 ⁽¹⁾

D Â

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)	
Class A Units <u>(2)</u> <u>(3)</u>	Â <u>(3)</u>	Â <u>(3)</u>	Class A Common Stock, \$0.01 par value	60,000	\$ 0	I	M&N Group Holdings, LLC

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
DeSorbo Antony John C/O MANNING & NAPIER, INC. 290 WOODCLIFF DRIVE FAIRPORT, NY 14450	Â	Â	Â See Remarks	Â

Signatures

/s/ Sarah C.
Turner 03/15/2019

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) Includes 40,040 restricted stock units and 30,000 shares of restricted stock, both of which will convert to common stock on a one-for-one basis. The restricted stock units and shares of restricted stock are both subject to time vesting, with one-third of such restricted stock units vesting on each of December 3, 2019, December 3, 2020, and December 3, 2021, and one-third of the shares of restricted stock vesting on each of April 16, 2019, April 16, 2020, and April 16, 2021.

(2) Represents Class A units of Manning & Napier Group, LLC ("Group") that are owned directly by M&N Group Holdings, LLC ("Group Holdings"). Group Holdings is owned as follows: (a) Class B units of Group Holdings representing approximately 100% of the issued and outstanding Class B units of Group Holdings, which represents approximately 28.31% of the voting and economic rights of Group Holdings, are owned by William Manning; (b) Class A units of Group Holdings representing approximately 83.87% of the issued and outstanding Class A units of Group Holdings, which represents approximately 60.12% of the voting and economic rights of Group Holdings, are owned by MNA Advisors, Inc. ("Advisors"); and (c) Class A units of Group Holdings representing approximately 16.13% of the issued and outstanding Class A units of Group Holdings, which represents approximately 11.57% of the voting and economic rights of Group Holdings, are owned by Manning & Napier Associates, LLC.

(3) The number of derivative securities shown is the number of Class A units of Group directly owned by Group Holdings that are attributable to the interests of the Reporting Person. Each Class A unit of Group represents the right to receive cash or one share of Class A common stock of the Issuer, subject to an annual exchange process that includes certain aggregate limits set forth in the Amended and Restated Shareholder Agreement dated November 23, 2011.

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Remarks:

ManagingÂ Director,Â RegionalÂ Sales,Â ManningÂ &Â NapierÂ Advisors,Â LLC

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.