

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.