

---

## Section 1: 8-K (8-K)

---

# 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):  
January 11, 2019

## WADDELL & REED FINANCIAL, INC.

(Exact name of registrant as specified in its charter)

Delaware  
(State or Other  
Jurisdiction of  
Incorporation)

001-13913  
(Commission  
File Number)

51-0261715  
(IRS Employer  
Identification No.)

6300 Lamar Avenue  
Overland Park, Kansas 66202  
(Address of Principal Executive Offices) (Zip Code)

(913) 236-2000  
(Registrant's telephone number, including area code)

---

(Registrant's 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 (*see* General Instruction A.2. below):

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

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

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.

---

---

**ITEM 7.01 REGULATION FD DISCLOSURE.**

On January 11, 2019, Waddell & Reed Financial, Inc. (the “Company”) issued a press release announcing its preliminary assets under management for the month ended December 31, 2018. A copy of the press release is furnished as Exhibit 99.1 and incorporated herein by reference.

**ITEM 9.01 FINANCIAL STATEMENTS AND EXHIBITS.**

(d) Exhibits.

<u>Exhibit No.</u>	<u>Description</u>
99.1	<a href="#">Press Release dated January 11, 2019</a>

## SIGNATURES

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.

WADDELL & REED FINANCIAL, INC.

Date: January 11, 2019

By: /s/ Benjamin R. Clouse  
Senior Vice President, Chief Financial Officer  
and Treasurer

3

[\(Back To Top\)](#)

## Section 2: EX-99.1 (EX-99.1)

Exhibit 99.1



### News Release

#### Waddell & Reed Financial, Inc. Announces December 31, 2018 Assets Under Management

Overland Park, KS, Jan. 11, 2019 — Waddell & Reed Financial, Inc. (NYSE: WDR) today reported preliminary assets under management of \$65.8 billion for the month ended December 31, 2018, compared to \$72.0 billion on November 30, 2018.

#### Assets Under Management (\$ in Millions)

	Preliminary Month Ended December 31, 2018		
	Retail	Institutional	Total
Beginning assets	\$ 67,590	\$ 4,435	\$ 72,025
Net flows	(1,125)	(392)	(1,517)
Market action	(4,311)	(388)	(4,699)
Ending assets	<u>\$ 62,154</u>	<u>\$ 3,655</u>	<u>\$ 65,809</u>

#### Cautionary Statement

The preliminary information included in this news release reflects management's estimate based on currently available information. Estimates are subject to change. Accordingly, you should not place undue reliance upon this preliminary information.

#### Contacts

##### Investor Contact:

Michael Daley, VP, Corporate Controller & Investor Relations, (913) 236-1795, mdaley1@waddell.com

##### Mutual Fund Investor Contact:

Call (888) WADDELL, or visit [www.waddell.com](http://www.waddell.com) or [www.ivyfund.com](http://www.ivyfund.com).

#### About the Company

Through its subsidiaries, Waddell & Reed Financial, Inc. has provided investment management and financial planning services to clients throughout the United States since 1937. Today, we distribute our investment products through the unaffiliated channel (encompassing broker/dealer, retirement, and registered investment advisors), our broker-dealer channel (through independent financial advisors), and our Institutional channel (including defined benefit plans, pension plans, endowments and subadvisory relationships). For more information, visit

[\(Back To Top\)](#)