Manning & Napier, Inc. Form 4 August 01, 2014

## FORM 4

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** Number:

3235-0287

Expires:

January 31, 2005

0.5

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**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5 obligations

may continue.

Check this box

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

See Instruction 1(b).

value \$0.01

(Print or Type Responses)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading PETTINELLA EDWARD J Issuer Symbol Manning & Napier, Inc. [MN] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) \_X\_\_ Director 10% Owner Officer (give title Other (specify C/O MANNING & NAPIER, 07/22/2014 below) INC., 290 WOODCLIFF DRIVE (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting FAIRPORT, NY 14450 (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 4. Securities 5. Amount of 6. Ownership 7. Nature of 3. TransactionAcquired (A) or Security (Month/Day/Year) Execution Date, if Securities Form: Direct Indirect (Instr. 3) Code Disposed of (D) Beneficially (D) or Beneficial (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Reported (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price Class A Common 07/22/2014 278 \$0 30,768 D Stock, par

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

#### Edgar Filing: Manning & Napier, Inc. - Form 4

| 1. Title of | 2.                     | 3. Transaction Date |                    | 4.         | 5.         | 6. Date Exerc       |                    | 7. Titl          |        | 8. Price of | 9. Nu    |
|-------------|------------------------|---------------------|--------------------|------------|------------|---------------------|--------------------|------------------|--------|-------------|----------|
| Derivative  | Conversion             | (Month/Day/Year)    | Execution Date, if | Transacti  | orNumber   | Expiration Date     |                    | Amount of        |        | Derivative  | Deriv    |
| Security    | or Exercise            |                     | any                | Code       | of         | (Month/Day/         | Year)              | Under            | lying  | Security    | Secui    |
| (Instr. 3)  | Price of               |                     | (Month/Day/Year)   | (Instr. 8) | Derivative | e                   |                    | Securities       |        | (Instr. 5)  | Bene     |
|             | Derivative<br>Security |                     |                    |            | Securities |                     |                    | (Instr. 3 and 4) |        | Owne        |          |
|             |                        |                     |                    |            | Acquired   | guired              |                    |                  |        |             | Follo    |
|             |                        |                     |                    |            | (A) or     |                     |                    |                  |        |             | Repo     |
|             |                        |                     |                    |            | Disposed   |                     |                    |                  |        |             | Trans    |
|             |                        |                     |                    |            | of (D)     |                     |                    |                  |        | (Instr      |          |
|             |                        |                     |                    |            | (Instr. 3, |                     |                    |                  |        |             | (2.11541 |
|             |                        | 4, and 5)           |                    |            |            |                     |                    |                  |        |             |          |
|             |                        |                     |                    |            | i, and 3)  |                     |                    |                  |        |             |          |
|             |                        |                     |                    |            |            |                     |                    |                  | Amount |             |          |
|             |                        |                     |                    |            |            | Date<br>Exercisable | Expiration<br>Date | Title            | or     |             |          |
|             |                        |                     |                    |            |            |                     |                    |                  | Number |             |          |
|             |                        |                     |                    |            |            |                     |                    |                  | of     |             |          |
|             |                        |                     |                    | Code V     | (A) (D)    |                     |                    |                  | Shares |             |          |

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

PETTINELLA EDWARD J C/O MANNING & NAPIER, INC. 290 WOODCLIFF DRIVE FAIRPORT, NY 14450



## **Signatures**

/s/ Edward

Pettinella 07/25/2014

\*\*Signature of Date

\*\*Signature of
Reporting Person

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 4(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).

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.

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