(33-REV 7/10)

SECURITIES INVESTOR PROTECTION CORPORATION P.O. Box 92185 Washington, D.C. 20090-2185 202-371-8300

General Assessment Reconciliation

(33-REV 7/10)

For the fiscal year ended $\frac{12/31/2015}{}$ (Read carefully the instructions in your Working Copy before completing this Form)

TO BE FILED BY ALL SIPC MEMBERS WITH FISCAL YEAR ENDINGS

purposes of the audit requirement of SEC Rule 17a-5:	ority, 1934 Act registration no.	and month in which fiscal year ends for
027030 FINRA DEC WADDELL & REED INC ATTN: B CLOUSE PO BOX 29217 SHAWNEE MISSION, KS 66201-921	ma an ind Na	ote: If any of the information shown on the ailing label requires correction, please e-mail ny corrections to form@sipc.org and so dicate on the form filed. ame and telephone number of person to intact respecting this form.
2. A. General Assessment (item 2e from page 2)		\$147,687
B. Less payment made with SIPC-6 filed (exclude intere 7-23-15	st)	(74,503)
Date Paid		8,835
C. Less prior overpayment applied		()
D. Assessment balance due or (overpayment)		to an a second distribution of the second distri
E. Interest computed on late payment (see instruction	E) fordays at 20% per a	annum
F. Total assessment balance and interest due (or over	rpayment carried forward)	\$ 64,349
G. PAID WITH THIS FORM: Check enclosed, payable to SIPC Total (must be same as F above)	\$64,349	
H. Overpayment carried forward	\$()
3. Subsidiaries (S) and predecessors (P) included in this f The SIPC member submitting this form and the person by whom it is executed represent thereby that all information contained herein is true, correct and complete.	Waddell & Reed, I	nc. Together Partnership or other organization)
Dated the 22nd day of January , 20 16 .	Vice President	(Authorized Signature)
This form and the assessment payment is due 60 days for a period of not less than 6 years, the latest 2 years	after the end of the fiscal yea	ar. Retain the Working Copy of this form e.
ш	viewed cumentation	Forward Copy

DETERMINATION OF "SIPC NET OPERATING REVENUES" AND GENERAL ASSESSMENT

Amounts for the fiscal period beginning 1-1-2015 and ending 12-31-2015

Item No. 2a. Total revenue (FOCUS Line 12/Part IIA Line 9, Code 4030)	Eliminate cents \$ 537,795,983
 2b. Additions: (1) Total revenues from the securities business of subsidiaries (except foreign subsidiaries) and predecessors not included above. 	
(2) Net foss from principal transactions in securities in trading accounts.	- 1000
(3) Net loss from principal transactions in commodities in trading accounts.	
(4) Interest and dividend expense deducted in determining item 2a.	
(5) Net loss from management of or participation in the underwriting or distribution of securities.	C. Decimality of the second
(6) Expenses other than advertising, printing, registration fees and legal fees deducted in determining net profit from management of or participation in underwriting or distribution of securities.	- MATERIAL (MATERIAL)
(7) Net loss from securities in investment accounts.	I HANK MICH IN MARKET
Total additions	
Deductions: (1) Revenues from the distribution of shares of a registered open end investment company or unit investment trust, from the sale of variable annuities, from the business of insurance, from investment advisory services rendered to registered investment companies or insurance company separate accounts, and from transactions in security futures products.	422,243,774
(2) Revenues from commodity transactions.	
(3) Commissions, floor brokerage and clearance paid to other SIPC members in connection with securities transactions.	633,351
(4) Reimbursements for postage in connection with proxy solicitation.	
(5) Net gain from securities in investment accounts.	(12,454)
(6) 100% of commissions and markups earned from transactions in (i) certificates of deposit and (ii) Treasury bills, bankers acceptances or commercial paper that mature nine months or less from issuance date.	
(7) Direct expenses of printing advertising and legal fees incurred in connection with other revenue related to the securities business (revenue defined by Section 16(9)(L) of the Act).	N
(8) Other revenue not related either directly or indirectly to the securities business.	
(See Instruction C):	55,782,108
(Deductions in excess of \$100,000 require documentation)	
(9) (i) Total interest and dividend expense (FOCUS Line 22/PART IIA Line 13, Code 4075 plus line 2b(4) above) but not in excess of total interest and dividend income. (ii) 40% of margin interest earned on customers securities	
accounts (40% of FOCUS line 5, Code 3960).	74,392
Enter the greater of line (i) or (ii)	478,721,171
Total deductions	59,074,812
2d. SIPC Net Operating Revenues	\$ 147,687
2e. General Assessment @ .0025	(to page 1, line 2.A.)

SIPC-2015 Line Zc. Deductions (8) Other Revenue

> 201 - Waddell & Reed, Inc. 201 - Waddell & Reed, Inc. FY15 FY15

YTD(Jun)

YTD(Dec)

 48620 - Rental Income
 Product
 Product_Class
 26,390.85
 42,358.94

 48810 - Miscellaneous Income
 Product
 Product_Class
 26,390.85
 42,358.94

 49261 - TP Rev - Revenue Sharing Revenue - AUM
 Product
 Product_Class
 22,789,734.18
 44,934,617.56

 49262 - TP Rev - Revenue Sharing Revenue - Sales
 Product
 Product_Class
 5,533,339.83
 10,784,857.21

 48130 - Interest Income - Other
 Product
 Product_Class
 28.61
 20,274.48

Line 2c. Deductions (8) Other Revenue Total

28,349,493.47 55,782,108.19