

**SIPC-7**

(33-REV 7/10)

**SECURITIES INVESTOR PROTECTION CORPORATION**P.O. Box 92185 Washington, D.C. 20090-2185  
202-371-8300**General Assessment Reconciliation****SIPC-7**

(33-REV 7/10)

For the fiscal year ended 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**

1. Name of Member, address, Designated Examining Authority, 1934 Act registration no. and month in which fiscal year ends for purposes of the audit requirement of SEC Rule 17a-5:

027030 FINRA DEC  
WADDELL & REED INC  
ATTN: B CLOUSE  
PO BOX 29217  
SHAWNEE MISSION, KS 66201-9217

Note: If any of the information shown on the mailing label requires correction, please e-mail any corrections to form@sipc.org and so indicate on the form filed.

Name and telephone number of person to contact respecting this form.

**WORKING COPY**

2. A. General Assessment (item 2e from page 2) \$ 147,687

B. Less payment made with SIPC-6 filed (exclude interest) 7-23-15 74,503  
Date Paid

C. Less prior overpayment applied 8,835

D. Assessment balance due or (overpayment) \_\_\_\_\_

E. Interest computed on late payment (see instruction E) for \_\_\_\_\_ days at 20% per annum \_\_\_\_\_

F. Total assessment balance and interest due (or overpayment 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 form (give name and 1934 Act registration number):  
\_\_\_\_\_  
\_\_\_\_\_

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 &amp; Reed, Inc.

(Name of Corporation, Partnership or other organization)



(Authorized Signature)

Dated the 22nd day of January, 20 16

Vice President

(Title)

This form and the assessment payment is due 60 days after the end of the fiscal year. Retain the Working Copy of this form for a period of not less than 6 years, the latest 2 years in an easily accessible place.

**SIPC REVIEWER**Dates: Postmarked Received Reviewed

Calculations \_\_\_\_\_ Documentation \_\_\_\_\_

Forward Copy \_\_\_\_\_

Exceptions:

Disposition of exceptions:



SIPC-2015

Line 2c. Deductions (8) Other Revenue

			201 - Waddell & Reed, Inc. 201 - Waddell & Reed, Inc.	
			FY15	FY15
			YTD(Jun)	YTD(Dec)
48620 - Rental Income	Product	Product_Class	-	-
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 /