# **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

August 5, 2020 Date of report (Date of earliest event reported)



## SEI INVESTMENTS COMPANY

(Exact name of registrant as specified in charter)

Pennsylvania

(State or Other Jurisdiction of Incorporation)

0-10200

(Commission File Number)

23-1707341 (I.R.S. Employer Identification No.)

1 Freedom Valley Drive Oaks, Pennsylvania 19456

(Address of Principal Executive Offices and Zip Code)

(610) 676-1000

(Registrants' Telephone Number, Including Area Code)

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 (17 CFR 230.425)
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12) П
  - 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))

Securities registered pursuant to Section 12(b) of the Act:

Trading Symbol Title of each class Name of each exchange on which registered Common Stock, par value \$0.01 per share SEIC The NASDAQ Stock Market LLC

Indicate by check mark whether the registrant is an emerging growth company 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. 

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#### Item 7.01. Regulation FD Information.

As previously reported by SEI Investments Company (the "Company"), a third-party vendor to the Company, M.J. Brunner, experienced a ransomware attack that had led to the exposure of data relating to certain clients of the Company. In order to provide information to clients with respect to questions that they may have regarding the situation, the Company has posted questions and answers on its corporate website, which may be found at <a href="https://information.seic.com">https://information.seic.com</a>. The Company may provide additional information regarding the situation from time to time at the same location.

As provided in General Instruction B.2 to Form 8-K, the information furnished pursuant to Item 7.01 hereof shall not be deemed "filed" for purposes of Section 18 of the Securities Exchange Act of 1934, as amended, nor shall it be deemed incorporated by reference in any filing with the Securities and Exchange Commission, except as shall be expressly provided by specific reference in such filing.

This Current Report on Form 8-K may contain forward looking statements within the meaning or the rules and regulations of the Securities and Exchange Commission. In some cases you can identify forward-looking statements by terminology such as "may", "will", "expect", "believe" and "continue" or "appear." Our forward-looking statements include our current expectations with respect to the ransomware attack on our third-party vendor. You should not place undue reliance on our forward-looking statements as they are based on the current beliefs and expectations of our management and subject to significant risks and uncertainties many of which are beyond our control or are subject to change. Although we believe the assumptions upon which we base our forward-looking statements are reasonable, they could be inaccurate. Some of the risks and important factors that could cause actual results to differ from those described in our forward-looking statements can be found in the "Risk Factors" sections of our Annual Report on Form 10-K for the year ended December 31, 2019, as well as subsequent Quarterly Reports on Form 10-Q, filed with the Securities and Exchange

#### Item 9.01. Financial Statements and Exhibits.

Exhibit No.	<u>Description</u>
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104 Cover Page Interactive Data File (embedded within the Inline XBRL document)

### **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.

SEI INVESTMENTS COMPANY

Date: August 5, 2020 By: /s/ Dennis J. McGonigle

Dennis J. McGonigle Chief Financial Officer