

WADDELL & REED FINANCIAL INC  
 Form 4  
 January 05, 2015

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
 Expires: January 31, 2015  
 Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES**

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**HERRMANN HENRY J**

2. Issuer Name and Ticker or Trading Symbol  
**WADDELL & REED FINANCIAL INC [WDR]**

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
**6300 LAMAR AVENUE**

3. Date of Earliest Transaction (Month/Day/Year)  
**12/31/2014**

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
**Chief Executive Officer / Chairman of the Board**

(Street)  
**OVERLAND PARK, KS 66202**

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
				(A) or (D)	Price				
				Code	V	Amount			
Class A Common	12/22/2014		G	V	7,500	D	\$ 0 989,444	I	Personal Trust
Class A Common	12/31/2014		F		40,256	D	\$ 49.82 949,188	I	Personal Trust
Class A Common	12/31/2014		A		65,000	A	\$ 0 65,000	D	
Class A Common	12/31/2014		G <sup>(1)</sup>	V	65,000	D	\$ 0 0	D	
Class A Common	12/31/2014		G	V	65,000	A	\$ 0 1,014,188 <sup>(2)</sup>	I	Personal Trust

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Class A Common	39,151 <sup>(3)</sup>	I	Spouse's Trust
Class A Common	38,505 <sup>(4)</sup>	I	Child 1 Trust
Class A Common	38,505 <sup>(4)</sup>	I	Child 2 Trust
Class A Common	38,505 <sup>(4)</sup>	I	Child 3 Trust

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

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

SEC 1474  
(9-02)

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned (Instr. 5)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HERRMANN HENRY J 6300 LAMAR AVENUE OVERLAND PARK, KS 66202	X		Chief Executive Officer	Chairman of the Board

## Signatures

Henry J.  
Herrmann 01/05/2015

\*\*Signature of  
Reporting Person

Date

## 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).

- (1) Transfer of shares for estate planning purposes.
- (2) These shares are held in trust for the benefit of Mr. Herrmann, who is the sole trustee of this trust.
- (3) These shares are held in trust for the benefit of Mrs. Herrmann, who is the sole trustee of this trust.
- (4) These shares are held in trust for the benefit of Mr. Herrmann's child and that child's descendents; Mr. Herrmann is the sole trustee of this trust.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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