

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

Date of Report (Date of earliest event reported): June 12, 2023

ALLIANCEBERNSTEIN HOLDING L.P.

(Exact name of registrant as specified in its charter)

Delaware
(State or other jurisdiction of
incorporation or organization)

001-09818
(Commission File Number)

13-3434400
(I.R.S. Employer Identification Number)

501 Commerce Street, Nashville, TN 37203
(Address of principal executive offices)
(Zip Code)
(615) 622-0000
(Registrant's telephone number, including area code)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligations 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)
- ☐ 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))

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. ☐

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

<u>Title of Each Class</u>	<u>Trading Symbol</u>	<u>Name of Each Exchange on which Registered</u>
Units rep. assignments of beneficial ownership of limited partnership interests in AB Holding	AB	NYSE

Item 7.01. Regulation FD Disclosure.

AllianceBernstein L.P. (“[AB](#)”) and AllianceBernstein Holding L.P. are furnishing a news release (“[AUM Release](#)”) issued on June 12, 2023 announcing AB’s preliminary assets under management as of May 31, 2023. The AUM Release is attached hereto as Exhibit 99.01.

Item 9.01. Financial Statements and Exhibits.

(d) Exhibits.

99.01 [AUM Release.](#)

SIGNATURE

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 thereunto duly authorized.

Dated: June 12, 2023

ALLIANCEBERNSTEIN HOLDING L.P.

By: /s/ David M. Lesser

David M. Lesser
Corporate Secretary



Mark Griffin, Investors
629.213.5672
mark.griffin@alliancebernstein.com

Carly Symington, Media
629.213.5568
carly.symington@alliancebernstein.com

AB Announces May 31, 2023 Assets Under Management

Nashville, TN, June 12, 2023 - AllianceBernstein L.P. ("AB") and AllianceBernstein Holding L.P. ("AB Holding") (NYSE: AB) today announced that preliminary assets under management decreased to \$670 billion during May 2023 from \$676 billion at the end of April. Modest firmwide net inflows were offset by market depreciation, resulting in a 1% AUM decrease during May. By channel, Institutions and Private Wealth generated net inflows, offset by Retail net outflows.

AllianceBernstein L.P. (The Operating Partnership) Assets Under Management (\$ in Billions)

	At May 31, 2023				At Apr 30 2023
	Institutions	Retail	Private Wealth	Total	Total
Equity					
Actively Managed	\$ 55	\$ 125	\$ 47	\$ 227	\$ 230
Passive	23	31	3	57	57
Total Equity	<u>78</u>	<u>156</u>	<u>50</u>	<u>284</u>	<u>287</u>
Fixed Income					
Taxable	123	58	17	198	199
Tax-Exempt	1	29	25	55	55
Passive	—	9	—	9	9
Total Fixed Income	<u>124</u>	<u>96</u>	<u>42</u>	<u>262</u>	<u>263</u>
Alternatives/Multi-Asset Solutions⁽¹⁾	<u>98</u>	<u>6</u>	<u>20</u>	<u>124</u>	<u>126</u>
Total	<u>\$ 300</u>	<u>\$ 258</u>	<u>\$ 112</u>	<u>\$ 670</u>	<u>676</u>
At April 30, 2023					
Total	<u>\$ 304</u>	<u>\$ 259</u>	<u>\$ 113</u>	<u>\$ 676</u>	

⁽¹⁾ Includes certain multi-asset solutions and services not included in equity or fixed income services.

Cautions Regarding Forward-Looking Statements

Certain statements provided by management in this news release are “forward-looking statements” within the meaning of the Private Securities Litigation Reform Act of 1995. Such forward-looking statements are subject to risks, uncertainties and other factors that could cause actual results to differ materially from future results expressed or implied by such forward-looking statements. The most significant of these factors include, but are not limited to, the following: the performance of financial markets, the investment performance of sponsored investment products and separately-managed accounts, general economic conditions, industry trends, future acquisitions, integration of acquired companies, competitive conditions, and government regulations, including changes in tax regulations and rates and the manner in which the earnings of publicly-traded partnerships are taxed. AB cautions readers to carefully consider such factors. Further, such forward-looking statements speak only as of the date on which such statements are made; AB undertakes no obligation to update any forward-looking statements to reflect events or circumstances after the date of such statements. For further information regarding these forward-looking statements and the factors that could cause actual results to differ, see “Risk Factors” and “Cautions Regarding Forward-Looking Statements” in AB’s Form 10-K for the year ended December 31, 2022 or form 10-Q for the quarter ended March 31, 2023. Any or all of the forward-looking statements made in this news release, Form 10-K, Form 10-Q, other documents AB files with or furnishes to the SEC and any other public statements issued by AB, may turn out to be wrong. It is important to remember that other factors besides those listed in “Risk Factors” and “Cautions Regarding Forward-Looking Statements”, and those listed above, could also adversely affect AB’s financial condition, results of operations and business prospects.

About AllianceBernstein

AllianceBernstein is a leading global investment management firm that offers high-quality research and diversified investment services to institutional investors, individuals and private wealth clients in major world markets.

As of March 31, 2023, including both the general partnership and limited partnership interests in AllianceBernstein, AllianceBernstein Holding owned approximately 39.3% of AllianceBernstein and Equitable Holdings, Inc. (“EQH”), directly and through various subsidiaries, owned an approximate 61.4% economic interest in AllianceBernstein.

Additional information about AB may be found on our website, www.alliancebernstein.com.