

**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): December 11, 2023

ALLIANCEBERNSTEIN L.P.

(Exact name of registrant as specified in its charter)

000-29961

(Commission File Number)

13-4064930

(I.R.S. Employer Identification Number)

Delaware

(State or other jurisdiction of
incorporation or organization)

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(g) of the Act:

<u>Title of Each Class</u>	<u>Trading Symbol</u>	<u>Name of Each Exchange on Which Registered</u>
Units of limited partnership interest in AllianceBernstein L.P.	None	None

Item 7.01. Regulation FD Disclosure.

AllianceBernstein L.P. (“AB”) and AllianceBernstein Holding L.P. are furnishing a news release (“AUM Release”) issued on December 11, 2023 announcing AB’s preliminary assets under management as of November 30, 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.

ALLIANCEBERNSTEIN L.P.

Dated: December 11, 2023

By: /s/ Mark Manley
Mark Manley
Corporate Secretary



Mark Griffin, Investors
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AB Announces November 30, 2023 Assets Under Management

Nashville, TN, December 11, 2023 - AllianceBernstein L.P. ("AB") and AllianceBernstein Holding L.P. ("AB Holding") (NYSE: AB) today announced that preliminary assets under management increased to \$696 billion during November 2023 from \$652 billion at the end of October. The 6.7% AUM increase was due to market appreciation and firmwide net inflows into all three distribution channels - Retail, Institutions and Private Wealth.

AllianceBernstein L.P. (The Operating Partnership)

Assets Under Management (\$ in Billions)

	At November 30, 2023				Oct 31, 2023
	Institutions	Retail	Private Wealth	Total	Total
Equity					
Actively Managed	\$ 57	\$ 131	\$ 49	\$ 237	\$ 219
Passive	23	33	3	59	54
Total Equity	80	164	52	296	273
Fixed Income					
Taxable	121	61	18	200	190
Tax-Exempt	1	32	26	59	55
Passive	—	11	—	11	10
Total Fixed Income	122	104	44	270	255
Alternatives/Multi-Asset Solutions⁽¹⁾	103	6	21	130	124
Total	\$ 305	\$ 274	\$ 117	\$ 696	\$ 652
	At October 31, 2023				
Total	\$ 287	\$ 254	\$ 111	\$ 652	

⁽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 September 30, 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 September 30, 2023, including both the general partnership and limited partnership interests in AllianceBernstein, AllianceBernstein Holding owned approximately 39.0% of AllianceBernstein and Equitable Holdings, Inc. (“EQH”), directly and through various subsidiaries, owned an approximate 61.7% economic interest in AllianceBernstein.

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