

GAMCO INVESTORS, INC. ET AL  
Form 8-K  
September 07, 2016

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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) September 2, 2016

GAMCO INVESTORS, INC.  
(Exact name of registrant as specified in its charter)

|   |   |  |
|---|---|--|
| Delaware<br>(State or other<br>jurisdiction of incorporation) | 1-14761<br><br>(Commission File Number) | 13-4007862<br><br>(IRS Employer<br>Identification No.) |
|---|---|--|

|   |                     |
|---|---------------------|
| One Corporate Center, Rye, NY<br>(Address of principal executive offices) | 10580<br>(Zip Code) |
|---|---------------------|

Registrant's telephone number, including area code (914) 921-3700

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 (see General Instruction A.2 below):

- 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))
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Item 8.01 Other Events.

On September 2, 2016, GAMCO Investors, Inc. ("GAMCO") paid \$10 million to Associated Capital Group, Inc. ("AC") to partially satisfy the \$110 million AC 4% PIK Note (due November 30, 2020) ("AC PIK Note"). As agreed to between GAMCO and AC, this prepayment will be applied to GAMCO's principal repayment obligation due on November 30, 2017. Accordingly, the principal amount due on that date has decreased from \$20 million to \$10 million and there remains \$100 million in principal outstanding. No other terms of the AC PIK Note have been changed as a result of this prepayment.

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 hereunto duly authorized.

GAMCO Investors, Inc.

By: /s/ Kieran Caterina

Kieran Caterina  
Senior Vice President and Co-Chief Accounting Officer

Date: September 6, 2016

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