

SCHWAB CHARLES CORP

Form 8-K

October 17, 2016

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): October 17, 2016

The Charles Schwab Corporation

(Exact name of registrant as specified in its charter)

Commission File Number: 1-9700

Delaware 94-3025021  
(State or other jurisdiction (I.R.S. Employer  
of incorporation) Identification No.)

211 Main Street, San Francisco, CA 94105

(Address of principal executive offices, including zip code)

(415) 667-7000

(Registrant's telephone number, including area code)

N/A

(Former name or former address, if changed since last report)

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)

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))

Item 2.02 Results of Operations and Financial Condition

On October 17, 2016, The Charles Schwab Corporation issued a press release announcing its financial results for the quarter ended September 30, 2016. A copy of the press release is furnished as Exhibit 99.1 to this report.

Item 9.01 Financial Statements and Exhibits

(d) Exhibits

99.1 Press Release dated October 17, 2016 (“Schwab Reports Record Quarterly Net Income of \$503 Million, Up 34% – Net Revenues Rise 20% to \$1.9 Billion, Highest in Company History – Total Client Assets Reach Record \$2.73 Trillion, Up 13% From Prior Year”)

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Signature(s)

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.

THE CHARLES SCHWAB CORPORATION

Date: October 17, 2016 By: /s/ Joseph R. Martinetto  
Joseph R. Martinetto  
Senior Executive Vice President and Chief Financial Officer

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Exhibit Index

Exhibit Description  
No.

Ex 99.1 Press Release dated October 17, 2016 (“Schwab Reports Record Quarterly Net Income of \$503 Million, Up 34% – Net Revenues Rise 20% to \$1.9 Billion, Highest in Company History – Total Client Assets Reach Record \$2.73 Trillion, Up 13% From Prior Year”)

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