

E TRADE FINANCIAL CORP  
Form 8-K  
November 06, 2018

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: November 6, 2018**  
(Date of earliest event reported)

**E\*TRADE Financial Corporation**  
(Exact name of registrant as specified in its charter)

|   |                                 |  |
|---|---------------------------------|--|
| <b>Delaware</b>   | <b>1-11921</b>                  | <b>94-2844166</b>                                  |
| <b>(State or other jurisdiction<br/>of incorporation or organization)</b> | <b>(Commission File Number)</b> | <b>(I.R.S. Employer<br/>Identification Number)</b> |

**11 Times Square, New York, New York 10036**  
(Address of principal executive offices and zip code)

**(646) 521-4300**  
(Registrant's telephone number, including area code)

**Not Applicable**  
(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))

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.

---

---

**ITEM 8.01. OTHER EVENTS**

On November 6, 2018, the Company announced the completion of its acquisition of approximately one million retail brokerage accounts from Capital One Financial Corporation by its wholly owned subsidiary, E\*TRADE Securities LLC, for approximately \$109 million in cash, subject to post-closing adjustments. A copy of the Company's press release is attached as Exhibit 99.1 to this Form 8-K and is incorporated herein by reference.

**ITEM 9.01. FINANCIAL STATEMENTS AND EXHIBITS**

(d) Exhibits

99.1 Press Release, dated November 6, 2018

---

**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.

Dated: November 6, 2018 E\*TRADE FINANCIAL  
CORPORATION

By: /s/ Lori S. Sher

**Lori S. Sher**

*Corporate Secretary*