

KLEINMAN SCOTT
Form 4
November 02, 2018

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
KLEINMAN SCOTT

(Last) (First) (Middle)

C/O APOLLO GLOBAL
MANAGEMENT, INC., 9 WEST
57TH STREET, 43RD FLOOR

(Street)

NEW YORK, NY 10019

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
Apollo Global Management LLC
[APO]

3. Date of Earliest Transaction
(Month/Day/Year)
11/01/2018

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director ____ 10% Owner
__X__ Officer (give title below) ____ Other (specify below)
Co-President

6. Individual or Joint/Group Filing(Check
Applicable Line)
__X__ Form filed by One Reporting Person
____ Form filed by More than One Reporting
Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired or Disposed of (A) or (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
				(A) or (D)			
			Code	V	Amount		Price
Class A Shares	11/01/2018		M		77,400	A	11 877,400 (2)
Class A Shares	11/01/2018		G	V	77,400	D	\$ 0 800,000 (2)
Class A Shares					35,157	I	KRT APO Series LLC (6)
Class A Shares					56,110	I	KRT APO Series LLC

				(4/30/2015) (7)
Class A Shares	20,834	I	KRT APO Series 6/30/15 LLC (8)	
Class A Shares	20,834	I	KRT APO Series 9/30/15 LLC (9)	
Class A Shares	23,876	I	KRT APO Series 12/31/15 LLC (10)	
Class A Shares	132,398	I	KRT APO Series LLC, 9-30-18 Series (11)	

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Underlying Securities (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Apollo Operating Group units	(1)	11/01/2018		M		77,400		(3)	(3)	Class A Shares	77,400	(4)

Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners

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Director 10% Owner Officer Other

KLEINMAN SCOTT
C/O APOLLO GLOBAL MANAGEMENT, INC.
9 WEST 57TH STREET, 43RD FLOOR
NEW YORK, NY 10019

Co-President

Signatures

/s/ Scott M.

Kleinman

11/02/2018

Signature of
Reporting Person

Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- Each Apollo Operating Group ("AOG") unit represents a right to receive one Class A share of Apollo Global Management, LLC (the "Issuer"), subject to the restrictions and provisions set forth in the reporting person's Roll-Up Agreement, dated July 13, 2007, by and among the reporting person, the Issuer, AP Professional Holdings, L.P. ("AP Prof") and the other parties thereto (the "Roll-Up Agreement") and the Fifth Amended and Restated Exchange Agreement, dated April 28, 2017, by and among the Issuer, AP Prof and the other parties thereto (the "Exchange Agreement").
- (1) Reported amount includes 800,000 restricted share units ("RSUs") granted under the Apollo Global Management, LLC 2007 Omnibus Equity Incentive Plan. Each RSU represents the contingent right to receive, in accordance with the issuance schedule set forth in the applicable RSU award agreement, one Class A share for each vested RSU. The RSUs vest in installments in accordance with the terms of the applicable RSU award agreement, provided the reporting person remains in service through the applicable vesting date.
- (2) Pursuant to the reporting person's Roll-Up Agreement, the AOG units were fully vested as of June 30, 2013 and do not expire.
- (3) Pursuant to Instruction 4(c)(iii), this response has been left blank.
- (4) KRT Investments LLC and Kleinman Children's Trust are limited partners of AP Prof, the direct holder of the AOG units. The manager of KRT Investments LLC is Alan Kleinman, the reporting person's father. The sole member of KRT Investments LLC is The Kleinman Residual Trust and the trustee of The Kleinman Residual Trust is Alan Kleinman. The trustee of Kleinman Children's Trust is Alan Kleinman. The AOG units indirectly held by KRT Investments LLC and Kleinman Children's Trust are the number of AOG units that such entities have a right to receive as limited partners in AP Prof, subject to the restrictions and provisions set forth in the Roll-Up Agreement and the Exchange Agreement.
- (5) By KRT APO Series LLC, a vehicle over which the reporting person exercises voting and investment control.
- (6) By KRT APO Series LLC (4/30/2015), a vehicle over which the reporting person exercises voting and investment control.
- (7) By KRT APO Series 6/30/15 LLC, a vehicle over which the reporting person exercises voting and investment control.
- (8) By KRT APO Series 9/30/15 LLC, a vehicle over which the reporting person exercises voting and investment control.
- (9) By KRT APO Series 12/31/15 LLC, a vehicle over which the reporting person exercises voting and investment control.
- (10) By KRT APO Series LLC, 9-30-18 Series, a vehicle over which the reporting person exercises voting and investment control. 132,398
- (11) Class A shares that were previously reflected as directly owned were contributed in-kind to KRT APO Series LLC, 9-30-18 Series prior to the transactions reported herein without any change in the reporting person's pecuniary interest.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.