Apollo Global Management LLC Form 4

February 06, 2015

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

**OMB** Number:

3235-0287

Check this box if no longer

January 31, Expires: 2005

**OMB APPROVAL** 

subject to Section 16. Form 4 or

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

Estimated average burden hours per response... 0.5

Form 5 obligations may continue. See Instruction

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

1(b).

(Last)

(City)

Class A

shares

(Print or Type Responses)

1. Name and Address of Reporting Person \* HARRIS JOSHUA

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

Apollo Global Management LLC

(Check all applicable)

[APO]

(Middle)

(Zip)

3. Date of Earliest Transaction

X Director X\_\_ 10% Owner X\_ Officer (give title

(Month/Day/Year) 02/06/2015

Other (specify below) Senior Managing Director

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

(First)

(Street) 4. If Amendment, Date Original

Applicable Line)

Filed(Month/Day/Year)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

I

I

6. Individual or Joint/Group Filing(Check

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

NEW YORK, NY 10019

1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

(State)

3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned Following Reported

6. Ownership 7. Nature of Form: Direct Indirect (D) or Beneficial Indirect (I) Ownership (Instr. 4) (Instr. 4)

(A) or

Transaction(s) (Instr. 3 and 4) Price

Code V Amount (D) 02/06/2015 M 225,000 Α

225,000

See footnote (2)

Class A 02/06/2015 shares

V 225,000 D

\$0 0

(1)

See footnote (2)

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

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**SEC 1474** (9-02)

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

8. P Der Sec (Ins

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 orDerivative Securities Acquired (A) Disposed of (Instr. 3, 4, an 5)	Expiration I (Month/Day or			and Amount rlying es and 4)	3 (
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Apollo Operating Group units	(1)	02/06/2015		M	225,00	0 (3)	(3)	Class A shares	225,000	
Apollo Operating Group units	(1)					(3)	<u>(3)</u>	Class A shares	(1)	

## **Reporting Owners**

Reporting Owner Name / Address	Relationships				
	Director	10% Owner	Officer	Other	
HARRIS JOSHUA C/O APOLLO GLOBAL MANAGEMENT, LLC 9 WEST 57TH STREET, 43RD FLOOR NEW YORK, NY 10019	X	X	Senior Managing Director		

## **Signatures**

/s/ Joshua Harris 02/06/2015

\*\*Signature of Date
Reporting Person

## **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 Agreement Among Principals, dated July 13, 2007, by and among the

- (1) reporting person, Leon Black and Marc Rowan (the "Agreement Among Principals"), and the Second Amended and Restated Exchange Agreement, dated March 5, 2014, by and among the Issuer, AP Professional Holdings, L.P. and the other parties thereto (the "Exchange Agreement").
- (2) By MJH Partners, L.P., an estate planning vehicle for which voting and investment control are exercised by the reporting person.
- (3) The AOG units were fully vested as of December 31, 2011 and do not expire.
- (4) Pursuant to Instruction 4(c)(iii), this response has been left blank.
- (5) By AP Professional Holdings, L.P. The reporting person is an indirect limited partner in BRH Holdings, L.P., which holds 88.58% of the limited partnership interests in AP Professional Holdings, L.P., the direct holder of the AOG units. The AOG units indirectly held by the

Reporting Owners 2

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reporting person are the number of AOG units that he has a right to receive as an indirect limited partner in BRH Holdings, L.P., subject to the restrictions and provisions set forth in the Agreement Among Principals and the Exchange Agreement.

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.