

KLEINMAN SCOTT
Form 3
January 08, 2018

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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

(Print or Type Responses)

1. Name and Address of Reporting Person *

Â KLEINMAN SCOTT

(Last) (First) (Middle)

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

(Street)

NEW YORK, Â NY Â 10019

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

01/01/2018

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

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

____ Director ____ 10% Owner

☒ Officer ____ Other

(give title below) (specify below)

Co-President

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person

____ Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities
Beneficially Owned
(Instr. 4)

3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)

4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Class A Shares

49,961 ⁽¹⁾

D

Â

Class A Shares

35,157

I

KRT APO Series LLC ⁽²⁾

Class A Shares

56,110

I

KRT APO Series LLC
(4/30/2015) ⁽³⁾

Class A Shares

20,834

I

KRT APO Series 6/30/15 LLC ⁽⁴⁾

Class A Shares

20,834

I

KRT APO Series 9/30/15 LLC ⁽⁵⁾

Class A Shares

23,876

I

KRT APO Series 12/31/15 LLC
⁽⁶⁾

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

SEC 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Apollo Operating Group units	Â (7)	Â (7)	Class A Shares	3,043,686 \$ (8)	I
					By AP Professional Holdings, L.P. (9)

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

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

Â Â Â Co-President Â

Signatures

/s/ Scott M.
Kleinman

01/08/2018

**Signature of
Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, see Instruction 5(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).

Reported amount includes 6,086 restricted share units ("RSUs") granted under the 2007 Apollo Global Management, LLC Omnibus Equity Incentive Plan (the "2007 Plan"). Each RSU represents the contingent right to receive, in accordance with the issuance schedule

(1) 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) By KRT APO Series LLC, a vehicle over which the reporting person exercises voting and investment control.

(3) By KRT APO Series LLC (4/30/2015), a vehicle over which the reporting person exercises voting and investment control.

(4) By KRT APO Series 6/30/15 LLC, a vehicle over which the reporting person exercises voting and investment control.

(5) By KRT APO Series 9/30/15 LLC, a vehicle over which the reporting person exercises voting and investment control.

(6) By KRT APO Series 12/31/15 LLC, a vehicle over which the reporting person exercises voting and investment control.

(7)

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Pursuant to 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"), the Apollo Operating Group units ("AOG units") were fully vested as of June 30, 2013 and do not expire.

- (8) Each AOG unit represents a right to receive one Class A share, subject to the restrictions and provisions set forth in the reporting person's 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").

- (9) 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.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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