SEC Form 4

# 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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person <sup>*</sup> <u>Gillis Frank Lauren</u> (Last) (First) (Middle) C/O ATHENE HOLDING LTD., CHESNEY HOUSE,			2. Issuer Name <b>and</b> Ticker or Trading Symbol Athene Holding Ltd [ ATH ]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
		( )	3. Date of Earliest Transaction (Month/Day/Year) 07/10/2019	x	Officer (give title Othe		10% Owner Other (specify below)	
FIRST FLOOR, 96 PITTS BAY ROAD (Street) PEMBROKE D0 HM08 (City) (State) (Zip)		HM08	4. If Amendment, Date of Original Filed (Month/Day/Year)		<ul> <li>6. Individual or Joint/Group Filing (Check Applicable Line)</li> <li>X Form filed by One Reporting Person</li> <li>Form filed by More than One Reporting Person</li> </ul>			

#### 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 (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	(Instr. 3 and 4)		(Instr. 4)
Class A Common Shares	07/10/2019		М		7,600	A	\$0	7,600	I	by Gillis Family Trust U/a/d 12/30/14 <sup>(1)</sup>
Class A Common Shares	07/10/2019		М		1,900	A	\$0	1,900	Ι	by The Anne E Fowler Foundation Inc. <sup>(2)</sup>
Class A Common Shares	07/10/2019		S <sup>(3)</sup>		10,000	D	\$42.64(4)	177,817	D	
Class A Common Shares	07/10/2019		S <sup>(3)</sup>		7,600	D	\$42.64(5)	0	I	by Gillis Family Trust U/a/d 12/30/14
Class A Common Shares	07/10/2019		S <sup>(3)</sup>		1,900	D	\$42.64 <sup>(4)</sup>	0	I	by The Anne E Fowler Foundation Inc. <sup>(2)</sup>
Class A Common Shares								20,000	Ι	By Ira

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

1. Title of 2. 3. Transaction 3A. Deemed 5. Number of 6. Date Exercisable and 7. Title and Amount of 8. Price of 9. Number of 10. 11. Nature 4 Derivative Conversion Execution Date, Transaction Derivative Expiration Date Securities Underlying Derivative derivative Ownership of Indirect Date Security (Instr. or Exercise Price of (Month/Dav/Year if any (Month/Day/Year) Code (Instr. Securities Acquired (A) (Month/Day/Year) Derivative Security (Instr. Security (Instr. 5) Securities Form Beneficial 3) 8) 3 and 4) Beneficially Direct (D) Ownership Derivative Security or Disposed of (D) (Instr. 3 or Indirect (I) (Instr. 4) Owned (Instr. 4) Following 4 and 5) Reported Transaction(s) Amount (Instr. 4) Date Expiration Number Code v (A) (D) Exercisable Date Title of Shares By Gillis Class A Class M-1 Family \$10<sup>(6)</sup> 07/10/2019 Μ 7,600 (7) (7) Commor 7,600 \$<mark>0</mark> 330,400 I Trust U/a/d Common Shares Shares 12/30/14(1) by The Anne E Class A Class M-1 Fowler \$10<sup>(6)</sup> 07/10/2019 Μ 1,900 (7) (7) 1,900 \$<mark>0</mark> 7,600 I Common Common Shares Shares Foundation Inc.<sup>(2)</sup>

Explanation of Responses:

1. Anne Marie Heiser is trustee of the Gillis Family Trust u/a/d 12/30/14.

2. The Reporting Person disclaims beneficial ownership of the shares held by The Anne E. Fowler Foundation, Inc., and this report should not be deemed an admission that the Reporting Person is the beneficial owner of such shares for purposes of Section 16 or for any other purpose.

The sales reported on this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person, the Gillis Family Trust and The Anne E. Fowler Foundation, Inc. on December 13, 2018.
 The price reported is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$42.43 to 43.21 inclusive. The Reporting Person undertakes to provide to Athene Holding Ltd., any security holder of Athene Holding Ltd., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

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OMB Number: 3235-0287 Estimated average burden hours per response: 0.5 5. The price reported is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$42.43 to 43.16 inclusive. The Reporting Person undertakes to provide to Athene Holding Ltd., any security holder of Athene Holding Ltd., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote. 6. These Class M-1 common shares are exchangeable into Class A common shares, on a one-to-one basis, once vested and upon payment of the conversion price (which can be paid in cash or shares).

 These Class M-1 common shares are exchangeable mit class A common shares, on a one-to-one basis, once vested and upon payment of the conversion price (which can be paid in cash of si 7. These Class M-1 common shares are fully vested. These vested Class M-1 common shares can be converted at the holder's election into Class A common shares at any time.

## Remarks:

EVP - ATH; Exhibit 24.1 - Power of Attorney (incorporated by reference to the Power of Attorney filed as Exhibit 24.1 to the Form 3 filed by the Reporting Person on December 9, 2016)

/s/ Ira Rosenblatt, attorney-in-fact 07/11/2019

\*\* Signature of Reporting Person Date

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

\* 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).

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.