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

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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><br>WHEELER WILLIAM J |               |                | 2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>Athene Holding Ltd</u> [ ATH ] | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)<br>Director 10% Owner |                            |                        |  |  |  |
|---|---------------|----------------|--|--|----------------------------|------------------------|--|--|--|
| (Last)  |               |                | 3. Date of Earliest Transaction (Month/Day/Year)<br>02/18/2020                       | x  | Officer (give title below) | Other (specify below)  |  |  |  |
| C/O ATHENE HO   | DLDING LTD.,  | CHESNEY HOUSE, |  |  | President                  |                        |  |  |  |
| FIRST FLOOR, 9  | 6 PITTS BAY I | ROAD           | 4. If Amendment, Date of Original Filed (Month/Day/Year)                             | 6. Individual or Joint/Group Filing (Check Applicable Line)                                      |                            |                        |  |  |  |
|   |               |                |  | X  | Form filed by One Rep      | orting Person          |  |  |  |
| (Street)  |               |                |  |  | Form filed by More tha     | n One Reporting Person |  |  |  |
| PEMBROKE  | D0            | HM08           |  |  |                            |                        |  |  |  |
|   |               |                |  |  |                            |                        |  |  |  |
| (City)  | (State)       | (Zip)          |  |  |                            |                        |  |  |  |

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

| 1. Title of Security (Instr. 3) | Date<br>(Month/Day/Year) | if any<br>(Month/Day/Year) | Transaction<br>Code (Instr. |   | 4. Securities Acquired (A) or<br>Disposed Of (D) (Instr. 3, 4 and 5) |               |       | Securities<br>Beneficially Owned                        | (Instr. 4) | Beneficial<br>Ownership |
|---------------------------------|--------------------------|----------------------------|-----------------------------|---|--|---------------|-------|---|------------|-------------------------|
|                                 |                          |                            | Code                        | v | Amount   | (A) or<br>(D) | Price | <ul> <li>Transaction(s)<br/>(Instr. 3 and 4)</li> </ul> |            | (Instr. 4)              |

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

| 1. Title of<br>Derivative<br>Security (Instr.<br>3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transac<br>Code (Ir<br>8) |   | Derivative |     | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount of<br>Securities Underlying<br>Derivative Security (Instr.<br>3 and 4) |                                     | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---|---|--|---|---------------------------------|---|------------|-----|--|--------------------|--|-------------------------------------|---|--|--|--|
|   |   |  |   | Code                            | v | (A)        | (D) | Date<br>Exercisable  | Expiration<br>Date | Title  | Amount<br>or<br>Number<br>of Shares |   | Transaction(s)<br>(Instr. 4)   |  |  |
| Restricted Stock<br>Units                           | (1)   | 02/18/2020                                 |   | A                               |   | 17,033     |     | (1)  | (1)                | Class A<br>Common<br>Shares  | 17,033                              | \$0   | 17,033   | D  |  |

### Explanation of Responses:

1. These performance-based restricted stock units ("PRSUs") were granted on March 21, 2017, but were conditional upon the Issuer satisfying certain performance criteria over the three fiscal year period from January 1, 2017 to December 31, 2019 (the "Performance Period"). On February 18, 2020, the Compensation Committee of the Issuer's Board of Directors determined the extent to which the Issuer met the performance goals for the Performance Period and the number of PRSUs that vested for the Reporting Person. Each PRSU represents a contingent right to receive one Class A common share of the Issuer. The PRSUs vested on January 15, 2019 and will be settled in Class A common shares within 90 days of the vesting date.

#### Remarks:

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 02/19/2020

\*\* 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.

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