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><br><u>Klein Martin P</u> |                        |          | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br><u>Athene Holding Ltd</u> [ ATH ] |   | tionship of Reporting Perso<br>all applicable)<br>Director | n(s) to Issuer<br>10% Owner |
|---|------------------------|----------|---|---|--|-----------------------------|
| (Last)<br>C/O ATHENE HO   | (First)<br>OLDING LTD. | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year)<br>02/22/2021                          | x   | Officer (give title<br>below)<br>Executive VP a            | Other (specify below)       |
| WASHINGTON HOUSE, 16 CHURCH STREET (Street)                                   |                        |          | 4. If Amendment, Date of Original Filed (Month/Day/Year)                                | 6. Individual or Joint/Group Filing (Check Applicable Line)<br>X Form filed by One Reporting Person<br>Form filed by More than One Reporting Person |  |                             |
| HAMILTON  | D0                     | HM 11    |   |   |  |                             |
| (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) |               |       | 5. Amount of<br>Securities<br>Beneficially Owned<br>Following Reported | (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 (In<br>8) |   | 5. Number of<br>Derivative<br>Securities<br>Acquired (A) or<br>Disposed of<br>(D) (Instr. 3, 4<br>and 5) |     | ate                 | Securities Underlying |                             | 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)   |  |  |
| Employee Stock<br>Option (Right to<br>Buy)          | \$46.64   | 02/22/2021                                 |   | A                               |   | 45,775   |     | (1)                 | 02/22/2031            | Class A<br>Common<br>Shares | 45,775  | \$ <u>0</u>  | 45,775   | D  |  |
| Restricted Stock<br>Units                           | (2)   | 02/22/2021                                 |   | A                               |   | 10,453   |     | (2)                 | (2)                   | Class A<br>Common<br>Shares | 10,453  | \$0  | 10,453   | D  |  |
| Restricted Stock<br>Units                           | (3)   |  |   |                                 |   |  |     | (3)                 | (3)                   | Class A<br>Common<br>Shares | 5,700   |  | 5,700  | D  |  |
| Restricted Stock<br>Units                           | (4)   |  |   |                                 |   |  |     | (4)                 | (4)                   | Class A<br>Common<br>Shares | 3,339   |  | 3,339  | D  |  |

#### Explanation of Responses:

1. This option vests ratably on each of the first three anniversaries of the January 1, 2021 vesting start date.

2. Each RSU represents a contingent right to receive one Class A common share of the Issuer. The RSUs reported herein vest on each of the first three anniversaries of the January 1, 2021 vesting start date. An additional 20,905 RSUs not reported herein vest only if the Issuer satisfies certain performance criteria over the three fiscal year period from January 1, 2021 to December 31, 2023. Vested RSUs are settled in Class A common shares on a one-for-one basis. In certain circumstances involving termination of the reporting person after a change in control of the Issuer, the award shall become immediately and fully vested as of the effective date of such termination of relationship.

3. Each RSU represents a contingent right to receive one Class A common share of the Issuer. The RSUs reported herein vest on each of the first three anniversaries of the January 1, 2020 vesting start date. An additional 17,100 RSUs not reported herein vest only if the Issuer satisfies certain performance criteria over the three fiscal year period from January 1, 2020 to December 31, 2022. Vested RSUs are settled in Class A common shares on a one-forone basis. In certain circumstances involving termination of the reporting person after a change in control of the Issuer, the award shall become immediately and fully vested as of the effective date of such termination of relationship.

4. Each RSU represents a contingent right to receive one Class A common share of the Issuer. The RSUs reported herein vest on each of the first three anniversaries of the January 1, 2019 vesting start date. Vested RSUs are settled in Class A common shares on a one-for-one basis. In certain circumstances involving termination of the reporting person after a change in control of the Issuer, the award shall become immediately and fully vested as of the effective date of such termination of relationship.

#### 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 02/24/2021 Date

\*\* Signature of Reporting Person

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.

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OMB APPROVAL

| OMB Number:              | 3235-0287 |
|--------------------------|-----------|
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| hours per response:      | 0.5       |