#### Edgar Filing: NUTTALL SCOTT C - Form 3

NUTTALL SCOTT C Form 3 July 21, 2017

# FORM 3

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

OMB APPROVAL

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SECURITIES

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

30(h) of the Investment Company Act of 1940

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement KKR & Co. L.P. [KKR] À NUTTALL SCOTT C (Month/Day/Year) 07/16/2017 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) C/O KKR & CO. L.P.,, 9 (Check all applicable) WEST 57TH STREET, 42ND **FLOOR** 10% Owner Director Officer (Street) Other 6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) Co-President & Co-COO \_X\_ Form filed by One Reporting Person NEW YORK. NYÂ 10019 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 3. 4. Nature of Indirect Beneficial Ownership Beneficially Owned (Instr. 4) Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â Common Units 554,761 D Common Units 6,722 Ι **By Trust** Common Units 2,782 I By Limited Liability Company Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. 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 control number.

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

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1. Title of Derivative Security (Instr. 4)	2. Date Exerc Expiration D (Month/Day/Year)			derlying	4. Conversion or Exercise Price of	5. Ownership Form of Derivative	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
KKR Holdings L.P. Units	(1)	(1)	Common Units	11,662,621 (2)	\$ <u>(1)</u>	D	Â
KKR Holdings L.P. Units	(1)	(1)	Common Units	118,673	\$ <u>(1)</u>	I	By Trust
KKR Holdings L.P. Units	(1)	(1)	Common Units	700,000	\$ <u>(1)</u>	I	By Limited Partnership

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
<b>FG</b> /	Director	10% Owner	Officer	Other		
NUTTALL SCOTT C			_			
C/O KKR & CO. L.P.,	Â	Â	Co-President & Co-COO	Â		
9 WEST 57TH STREET, 42ND FLOOR	А	А	& Co-COO	А		
NEW YORK, NY 10019						

## **Signatures**

/s/ Christopher Lee, Attorney-in-fact

07/21/2017

\*\*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).

Pursuant to an exchange agreement as contemplated by KKR & Co. L.P.'s prospectus dated September 21, 2011, filed with the Securities and Exchange Commission on September 23, 2011, units of KKR Holdings L.P. are exchangeable for KKR Group

- (1) Partnership Units (which term refers collectively to Class A partner interests in each of KKR Management Holdings L.P., KKR Fund Holdings L.P. and KKR International Holdings L.P.) on a one-for-one basis, and KKR Group Partnership Units are exchangeable for common units of KKR & Co. L.P. on a one-for-one basis.
- (2) Of the 11,662,621 KKR Holdings L.P. Units, 9,966,231 are vested, 1,280,000 will vest in four equal annual installments beginning on May 1, 2018, and 261,651, 101,694 and 53,045 will vest on April 1, 2018, April 1, 2019 and April 1, 2020, respectively.

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#### **Remarks:**

Pursuant to Rule 16a-1(a)(4) under the Exchange Act, the Reporting Person states that this filing sh

#### Exhibit 24: Power of Attorney

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.

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