

Finn Christopher
Form 3
March 28, 2019

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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 *

^ Finn Christopher

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

03/19/2019

3. Issuer Name **and** Ticker or Trading Symbol
Carlyle Group L.P. [CG]

4. Relationship of Reporting Person(s) to Issuer

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

1001 PENNSYLVANIA AVENUE, NW

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
Chief Operating Officer

6. Individual or Joint/Group Filing(Check Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting Person

WASHINGTON, ^ DC ^ 20004

(City)

(State)

(Zip)

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)

Common Units

366,106 ⁽¹⁾

D

^

Common Units

313,937

I

See Footnote ⁽²⁾

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

SEC 1473 (7-02)

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)

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

5. Ownership Form of Derivative

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

Edgar Filing: Finn Christopher - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Carlyle Holdings partnership units	Â (3)	Â (3)	Common Units representing limited partnership interests	194,693	\$ (3)	D	Â
Carlyle Holdings partnership units	Â (3)	Â (3)	Common Units representing limited partnership interests	13,595	\$ (3)	I	See Footnote (4)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Finn Christopher 1001 PENNSYLVANIA AVENUE, NW WASHINGTON, DC 20004	Â	Â	Â Chief Operating Officer	Â

Signatures

/s/ Jeffrey W. Ferguson, by power of attorney for Christopher Finn 03/28/2019

__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).
- (1) Of these 366,106 securities, 54,381 are common units and 311,725 are deferred restricted common units. Of the 311,725 deferred restricted common units, 109,220 are scheduled to vest on August 1, 2019, 122,644 are scheduled to vest on August 1, 2020, 56,937 are scheduled to vest on August 1, 2021 and 22,924 are scheduled to vest on August 1, 2022, provided that the reporting person continues to provide services to the issuer.
- (2) These common units are held in a limited liability company of which the reporting person is the manager.
- (3) Pursuant to the terms of the exchange agreement and subject to certain requirements and restrictions, the partnership units of Carlyle Holdings are exchangeable for common units of The Carlyle Group L.P. on a one-for-one basis.
- (4) Such Carlyle Holdings partnership units are held by a trust for the benefit of the reporting person's family. The reporting person is the special purpose trustee of the trust and has sole investment power over the units.

Â

Remarks:

Pursuant to Rule 16a-1(a)(4) of the Securities Exchange Act of 1934, as amended, the reporting person

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

Edgar Filing: Finn Christopher - Form 3

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.