

# KKR & CO. INC. Reported by SORKIN DAVID

### FORM 4

(Statement of Changes in Beneficial Ownership)

## Filed 02/07/20 for the Period Ending 02/05/20

Address 9 WEST 57TH STREET, SUITE 4200

NEW YORK, NY, 10019

Telephone 212-750-8300

CIK 0001404912

Symbol KKR

SIC Code 6282 - Investment Advice

Industry Investment Management & Fund Operators

Sector Financials

Fiscal Year 12/31





[] Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. *See* Instruction 1(b).

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

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## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

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 *      |   |                   |                                    |             |   | 2. Issuer Name and Ticker or Trading Symbol  |                           |  |  |   |                    |   |  | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) |   |   |  |
|--|---|-------------------|------------------------------------|-------------|---|--|---------------------------|--|--|---|--------------------|---|--|---|---|---|--|
| Sorkin David                                   |   |                   |                                    |             |   | KKR & Co. Inc. [ KKR ]                       |                           |  |  |   |                    |   |  |   |   |   |  |
| (Last) (First) (Middle)                        |   |                   |                                    |             | 3.  | 3. Date of Earliest Transaction (MM/DD/YYYY) |                           |  |  |   |                    |   |  | Director 10% Owner  |   |   |  |
|  |   |                   |                                    |             |   |  |                           |  |  |   |                    |   | X_ Officer (give title below) Other (specify below)  General Counsel and Secretary   |   |   |   |  |
| C/O KKR & CO. INC., 9 WEST 57TH                |   |                   |                                    |             |   |  |                           | 2/   | 5/20   | 020                                     |                    | General Coul  | isel and   | Secretary   |   |   |  |
| STREET, 42                                     |   |                   |                                    |             |   |  |                           |  |  |   |                    |   |  |   |   |   |  |
| · · · · · · · · · · · · · · · · · · ·          |   |                   |                                    | 4.          | If An                                     | nendme                                       | ent, Date                 | Origi  | nal File   | ed (MM/D                                | Y) 6. Individual o | 6. Individual or Joint/Group Filing (Check Applicable Line)   |  |   |   |   |  |
| NEW YORK, NY 10019                             |   |                   |                                    |             |   |  |                           |  |  |   |                    |   | _X _ Form filed by One Reporting Person Form filed by More than One Reporting Person |   |   |   |  |
| (C   | (City) (State) (Zip)                                      |                   |                                    |             |   |  |                           |  |  |   |                    | Form thea by More than One Reporting Person   |  |   |   |   |  |
|  |   |                   | Table                              | I - Nor     | -De                                       | rivat  | ive Sec                   | urities A  | cqui   | red, Dis                                | sposed o           | f, or l   | Beneficially Owner   | ed  |   |   |  |
| 1. Title of Security (Instr. 3)                |   |                   | 2. Trans. Date                     |             | e 2A. Deemed<br>Execution<br>Date, if any |  | 3. Trans. C<br>(Instr. 8) | ode  | 4. Securities Acquired (A or Disposed of (D) (Instr. 3, 4 and 5) |   |                    | 5. Amount of Securities Beneficially Owned<br>Following Reported Transaction(s)<br>(Instr. 3 and 4) |  | Ownership I<br>Form:  | Beneficial  |   |  |
|  |   |                   |                                    |             |   |  |                           | Code   | V  | Amount                                  | (A) or (D)         | Price   |  |   |   | Direct (D)<br>or Indirect<br>(I) (Instr.<br>4)  |  |
| Class A Common Stock                           |   |                   |                                    | 2/5/202     | 2/5/2020                                  |  |                           | S  |  | 7072                                    | D                  | \$33.03   |  | 0   |   | D   |  |
| Class A Common Stock 2                         |   |                   |                                    | 2/5/202     | 2/5/2020                                  |  |                           | G <sup>(1)</sup>   | v  | 75000                                   | D                  | \$0   | 0  |   | T   | See<br>footnote (1)                             |  |
|  | Tal   | ble II - De       | rivative                           | e Secur     | ities                                     | Ben  | eficially                 | y Owned  | (e.g.  | , puts,                                 | calls, wa          | rrant   | s, options, conver   | tible sec   | urities)  |   |  |
| 1. Title of Derivate<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative | 3. Trans.<br>Date | 3A. Dee<br>Execution<br>Date, if a | ution (Inst |   | Acquir<br>Dispos                             |                           | er of<br>we Securities<br>d (A) or<br>d of (D)<br>4 and 5) |  | 6. Date Exercisable and Expiration Date |                    |   | e and Amount of<br>ties Underlying<br>tive Security<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 | Ownership<br>Form of<br>Derivative<br>Security: | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|  | Security  |                   |                                    | (           | Code                                      | V  | (A)                       | (D)  | Dat<br>Exe   | ercisable                               | Expiration<br>Date |   | Amount or Number of<br>Shares  |   | Following<br>Reported<br>Transaction(s)<br>(Instr. 4)             | Direct (D)<br>or Indirect<br>(I) (Instr.<br>4)  |  |

#### **Explanation of Responses:**

(1) This Form 4 reports the donation of 75,000 shares of Class A common stock of KKR & Co. Inc. by a limited partnership (the "Partnership"), which is an entity controlled by the Reporting Person, to a charitable organization. As previously reported on a Form 4 filed on May 18, 2018, 150,000 shares of Class A common stock were being held by the Partnership solely for purposes of charitable donations, and after the donation of 75,000 shares being reported hereby, all such shares have been donated.

#### Remarks:

Pursuant to Rule 16a-1(a)(4) under the Securities Exchange Act of 1934, as amended, the Reporting Person states that this filing shall not be an admission that the Reporting Person is the beneficial owner of any of the securities reported herein as indirectly owned, and the Reporting Person disclaims beneficial ownership of such securities except to the extent of the Reporting Person's pecuniary interest therein.

| Reporting Owner Name / Address | Relationships     |                               |                              |       |  |  |  |  |
|--------------------------------|-------------------|-------------------------------|------------------------------|-------|--|--|--|--|
| Reporting Owner Name / Address | Director 10% Owne |                               | Officer                      | Other |  |  |  |  |
| Sorkin David                   |                   |                               |                              |       |  |  |  |  |
| C/O KKR & CO. INC.             |                   |                               | Canaval Cauncal and Saavataw |       |  |  |  |  |
| 9 WEST 57TH STREET, 42ND FLOOR |                   | General Counsel and Secretary |                              |       |  |  |  |  |
| NEW YORK, NY 10019             |                   |                               |                              |       |  |  |  |  |

#### **Signatures**

/s/ Christopher Lee, Attorney-in-fact

2/7/2020

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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