SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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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* 2. Date of Event Requiring Statemen (Month/Day/Year) LEE KEWSONG 01/01/2018		nent 🛛	3. Issuer Name and Ticker or Trading Symbol <u>Carlyle Group L.P.</u> [CG]					
(Last) (First) (Middle) 1001 PENNSYLVANIA AVENUE, NW		4	4. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner			5. If Amendment, Date of Original Filed (Month/Day/Year)		
			X Officer (give title below)	Other (spe below)	cify 6. Ir	idividual or Joint licable Line)	/Group Filing (Check	
(Street) WASHINGTON DC 20004			Co-Chief Executive	e Officer	2	-	y One Reporting Person y More than One erson	
(City) (State) (Zip)								
Table I - Non-Derivative Securities Beneficially Owned								
1. Title of Security (Instr. 4)			Amount of Securities eneficially Owned (Instr. 4)			4. Nature of Indirect Beneficial Ownership (Instr. 5)		
Common Units			1,014,294(1)	D				
Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)								
1. Title of Derivative Security (Instr. 4) 2. Date Exercisable a Expiration Date (Month/Day/Year)		ate	3. Title and Amount of Securi Underlying Derivative Securi		4. Conversion or Exercise	5. Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
Further of Demonstra	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of Derivative Security	Direct (D) or Indirect (I) (Instr. 5)		

Explanation of Responses:

1. Of these 1,014,294 securities, 329,472 are common units and 684,822 are deferred restricted common units. Of the 684,822 deferred restricted common units, 98,778 are scheduled to vest on February 1, 2018; 214,988 are scheduled to vest on August 1, 2018; 98,777 are scheduled to vest on February 1, 2019; 156,150 are scheduled to vest on August 1, 2019; and 116,129 are scheduled to vest on August 1, 2020, in each case, provided that Mr. Lee continues to provide services to the issuer.

Remarks:

Pursuant to Rule 16a-1(a)(4) of the Securities Exchange Act of 1934, as amended, the reporting person herein states that this filing shall not be deemed to be an admission that such reporting person is the beneficial owner of any of these interests, and disclaims beneficial ownership of such interests, except to the extent of such reporting person's pecuniary interest in such interests.

/s/ Jeffrey W. Ferguson, byPower of Attorney for01/02/2018Kewsong Lee01/02/2018

** 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 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).

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.

POWER OF ATTORNEY AND CONFIRMING STATEMENT

This Power of Attorney and Confirming Statement (this "Statement") confirms that the undersigned has authorized and designated each of William E. Conway, Jr., Daniel A. D'Aniello, David M. Rubenstein, Curtis Buser, Glenn Youngkin and Jeffrey W. Ferguson to execute and file on the undersigned's behalf all Forms 3, 4, and 5 (including any amendments thereto) that the undersigned may be required to file with the U.S. Securities and Exchange Commission as a result of the undersigned's ownership of or transactions in securities of The Carlyle Group L.P. The authority of William E. Conway, Jr., Daniel A. D'Aniello, David M. Rubenstein, Curtis Buser, Glenn Youngkin and Jeffrey W. Ferguson under this Statement shall continue until the undersigned is no longer required to file Forms 3, 4, and 5 with regard to his or her ownership of or transactions in securities of The Carlyle Group L.P., unless earlier revoked in writing. The undersigned acknowledges that William E. Conway, Jr., Daniel A. D'Aniello, David M. Rubenstein, Curtis Buser, Glenn Youngkin and Jeffrey W. Ferguson are not assuming any of the undersigned's responsibilities to comply with Section 16 of the Securities Exchange Act of 1934, as amended.

In witness whereof, this Statement is signed and dated as of the date set forth below.

Date: 11/17/2017

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By: /s/ Kewsong Lee Name: Kewsong Lee Title: Managing Director