# SEC Form 4

Instruction 1(b).

# FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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

	01 Section 50(1) 01 the											
1. Name and Address of Reporting Person*	2. Issuer Name <b>and</b> Tic Allison Transmi	0	·	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)								
RABAUT THOMAS W				X	Director	10% (	Owner					
	- 1				Officer (give title		(specify					
(Last) (First) (Middle) ONE ALLISON WAY	3. Date of Earliest Tran 02/08/2021	saction (Month/	Day/Year)		below)	below	)					
(Street)	4. If Amendment, Date	of Original Filed	(Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)								
INDIANAPOLIS IN 46222				X	Form filed by One Reporting Person							
·	_				Form filed by Mo	re than One Re	porting					
(City) (State) (Zip)					Person							
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned												
1. Title of Security (Instr. 3) 2. Tra	nsaction 2A. Deemed	3.	4. Securities Acquired (A	A) or	5. Amount of	6. Ownership	7. Nature					

	Date (Month/Day/Year)	Execution Date, if any (Month/Day/Year)	Transa Code ( 8)		Disposed Of 5)	(D) (Insti	3, 4 and		Form: Direct (D) or Indirect (I) (Instr. 4)	of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock <sup>(1)</sup>	02/08/2021		A		484	A	<b>\$0</b> <sup>(2)</sup>	50,314	D	

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code ( 8)		of E		6. Date Exerc Expiration Da (Month/Day/Y	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

### Explanation of Responses:

1. These shares represent a quarterly payment of the reporting person's annual retainer under the Allison Transmission Holdings, Inc. (the "Company") Fifth Amended and Restated Non-Employee Director Compensation Policy ("Policy"). The annual retainer is paid quarterly in arrears in cash or common stock at the reporting person's discretion.

2. The number of shares of common stock received was calculated based on \$43.84, which was the closing price of the Company's common stock on the date of grant.

### **Remarks:**

#### /s/ Jacalyn C. Bolles, attorney-02/09/2021

<u>in-fact</u>

\*\* 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 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.

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.