SEC Form 4

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FORM 4

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

OMB APPROVAL

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

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| 1. Name and Ac Graziosi D | ddress of Reporting David S. | Person* | 2. Issuer Name and Ticker or Trading Symbol Allison Transmission Holdings Inc [ALSN] | | tionship of Reporting Per all applicable) Director | son(s) to Issuer 10% Owner | | | |
|--|---------------------------------|----------|--|---|--|---------------------------------------|--|--|--|
| (Last) ONE ALLIS | (First) ON WAY | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year) 12/02/2013 | X | Officer (give title below) Exec VP, CFO and | Other (specify below) Treasurer | | | |
| (Street) | | | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Individual or Joint/Group Filing (Check Applicable Line) | | | | | |
| INDIANAPOLIS IN 46222 | | 46222 | | X | Form filed by One Reporting Person | | | | |
| (City) | (State) | (Zip) | - | | Form filed by More tha Person | n One Reporting | | | |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned | | | | | | | | | |

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | | | | | 5. Amount of Securities Beneficially Owned Following Reported | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--|---|---|---|--------|---------------|--------------------------|---|---|---|
| | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | (|
| Common Stock | 12/03/2013 | | М | | 12,600 | Α | \$8.44 | 98,584 | D | |
| Common Stock | 12/03/2013 | | S ⁽¹⁾ | | 12,600 | D | \$26.9985 ⁽²⁾ | 85,984 | 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) | | | vative urities ured or osed of Instr. 3, | 6. Date Exerc Expiration Da (Month/Day/Y | te of Securiti | | es g Security | 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 | | | | |
| Employee Stock Option (right to buy) | \$8.44 | 12/03/2013 | | М | | | 12,600 | (3) | 11/13/2017 | Common Stock | 12,600 | \$0 | 1,639 | D | |
| Dividend Equivalent Rights | (4) | 12/02/2013 | | Α | | 437 | | (4) | (4) | Common Stock | 437 | \$0 | 1,680 | D | |

Explanation of Responses:

1. The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on November 15, 2013.

2. The price reported is a weighted average price. These shares were sold in multiple transactions at per share prices ranging from \$26.9358 to \$27.0700. The reporting person undertakes to provide the Company, any security holder of the Company or the staff of the SEC, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

3. The option vested in five equal annual installments beginning on November 13, 2008.

4. The dividend equivalent rights accrued on two previously awarded restricted stock units ("RSUs") and vest proportionately with the RSUs to which they relate. Each dividend equivalent right is the economic equivalent of one share of Allison Transmission Holdings, Inc. common stock.

Remarks:

Scroggins, attorney-/s/ Eric C. in-fact

12/04/2013

** 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.