SEC Form 3 FORM 3

## UNITED STATES SECURITIES AND EXCHANGE

COMMISSION Washington, D.C. 20549

OMB APPROVAL

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## INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Estimated average burden hours per response: 0.5

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* van Niekerk Teresa	2. Date of Event Requiring Statement (Month/Day/Year) 03/14/2022 3. Issuer Name and Ticker or Trading Symbol Allison Transmission Holdings Inc [ ALSN ]							
(Last) (First) (Middle) C/O ALLISON TRANSMISSION HOLDINGS, INC.			4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner			<ul><li>5. If Amendment, Date of Original Filed (Month/Day/Year)</li><li>6. Individual or Joint/Group Filing</li></ul>		
ONE ALLISON WAY	_		X Officer (give title below) VP, Global Purcha	below)		(Check Applicable X Form filed b Person	Line) by One Reporting	
(Street) INDIANAPOLIS IN 46222						Form filed by More than One Reporting Person		
(City) (State) (Zip)								
Т	able I - Nor	n-Derivat	ive Securities Benefic	cially Ov	vned			
1. Title of Security (Instr. 4)			2. Amount of Securities Beneficially Owned (Instr. 4)	3. Owne Form: D (D) or In (I) (Instr	Direct O direct 0	. Nature of Indired wnership (Instr. !	ature of Indirect Beneficial ership (Instr. 5)	
Common Stock			9,890	E	)			
(e.ç			e Securities Beneficia nts, options, converti					
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. Conversi or Exerci	se Form:	6. Nature of Indirect Beneficial Ownership (Instr.	
	Date Exercisable	Expiratior Date	n Title	Amount or Number of Shares	Price of Derivativ Security	Direct (D) e or Indirect (I) (Instr. 5)	5)	
Employee Stock Option (right to buy)	(1)	02/07/2028	Common Stock	5,892	43.3	D		
Employee Stock Option (right to buy)	(2)	02/20/2029	Common Stock	5,705	49.6	D		
Employee Stock Option (right to buy)	(3)	02/25/2023	Common Stock	6,761	43.24	D		
Employee Stock Option (right to buy)	(4)	02/10/2031	Common Stock	8,281	43.13	D		
Employee Stock Option (right to buy)	(5)	02/23/2032	Common Stock	9,907	39.42	D		
Restricted Stock Units	(6)	(6)	Common Stock	2,254	(7)	D		
Restricted Stock Units	(8)	(8)	Common Stock	1,840	(7)	D		
Restricted Stock Units	(9)	(9)	Common Stock	3,302	(7)	D		

## Explanation of Responses:

1. The options vested on February 7, 2021.

2. The options vested on February 20, 2022.

3. The options vests on February 25, 2023.

4. The option vests in three equal annual installments beginning on February 10, 2022.

5. The option vests in three equal annual installments beginning on February 23, 2023.

6. The restricted stock units ("RSUs") vest on February 25, 2023.

7. Each RSU represents a contingent right to receive one share of Allison Transmission Holdings, Inc. common stock ("Common Stock"). RSUs earned dividend equivalents when

dividends are declared on the Common Stock.

8. The RSUs vest in three equal annual installments beginning on February 10, 2022.

9. The RSUs vest in three equal annual installments beginning on February 23, 2023.

10. The dividend equivalent rights vest proportionately with the RSUs to which they relate. Each dividend equivalent right is the economic equivalent of one share of Common Stock.

/s/ Jacalyn C. Bolles, attorney-in-fact (power of 03/22/2022 attorney filed herewith)

Date

\*\* Signature of Reporting Person

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

Know all by these presents, that the undersigned hereby constitutes and appoints each of Jacalyn C. Bolles and Eric C. Scroggins or either of them signing singly, and with full power of substitution, the undersigned's true and lawful attorney-in-fact to:

(1) prepare, execute in the undersigned's name and on the undersigned's behalf, and submit to the U.S. Securities and Exchange Commission (the "SEC") a Form ID, including amendments thereto, and any other documents necessary or appropriate to obtain codes and passwords enabling the undersigned to make electronic filings with the SEC of reports required by Section 16(a) of the Securities Exchange Act of 1934 or any rule or regulation of the SEC;

(2) execute for and on behalf of the undersigned, in the undersigned's capacity as an officer and/or director of Allison Transmission Holdings, Inc. (the "Company"), Forms 3, 4, and 5 in accordance with Section 16(a) of the Securities Exchange Act of 1934 and the rules thereunder;

(3) do and perform any and all acts for and on behalf of the undersigned which may be necessary or desirable to complete and execute any such Form 3, 4, or 5, complete and execute any amendment or amendments thereto, and timely file such form with the SEC and any stock exchange or similar authority; and

(4) take any other action of any type whatsoever in connection with the foregoing which, in the opinion of such attorney-in-fact, may be of benefit to, in the best interest of, or legally required by, the undersigned, it being understood that the documents executed by such attorney-in-fact on behalf of the undersigned pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions as such attorney-in-fact may approve in such attorney-in-fact's discretion.

The undersigned hereby grants to each such attorney-in-fact full power and authority to do and perform any and every act and thing whatsoever requisite, necessary, or proper to be done in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as the undersigned might or could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that such attorney-in-fact, or such attorney-in-fact's substitute or substitutes, shall lawfully do or cause to be done by virtue of this power of attorney and the rights and powers herein granted. The undersigned acknowledges that the foregoing attorneys-in-fact, in serving in such capacity at the request of the undersigned, are not assuming, nor is the Company assuming, any of the undersigned's responsibilities to comply with Section 16 of the Securities Exchange Act of 1934.

This Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Forms 3, 4, and 5 with respect to the undersigned's holdings of and transactions in securities issued by the Company, unless earlier revoked by the undersigned in a signed writing delivered to the foregoing attorneys-in-fact.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this 15th day of March, 2022. /s/ Teresa van Niekerk Signature

Teresa van Niekerk Printed Name