SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

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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| | | | or Section 30(h) of the Investment Company Act of 1940 | | | | |
|--|----------------|----------------|---|------------------------|--|---------------------------------------|--|
| 1. Name and Address of Reporting Person [*] Dick Michael | | | 2. Issuer Name and Ticker or Trading Symbol Allison Transmission Holdings Inc [ALSN] | | tionship of Reporting Person(s) to Issuer (all applicable) Director 10% Owner | | |
| (Last) ONE ALLISON V | (First) WAY | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year) 12/12/2017 | - X | Officer (give title below) SVP, Ops and P | Other (specify below) urchasing | |
| (Street) INDIANAPOLIS (City) | IN (State) | 46222 (Zip) | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Indiv Line) X | vidual or Joint/Group Filin Form filed by One Rep Form filed by More tha Person | orting Person | |

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. Transa Code (8) | | 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5) | | 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) | | (1130.4) | | |
| Common Stock | 12/12/2017 | | М | | 2,200 | A | \$23.58 | 39,131 | D | | | |
| Common Stock | 12/12/2017 | | S | | 4,400 ⁽¹⁾ | D | \$42.0311(2) | 34,731 | D | | | |
| Common Stock | 12/18/2017 | | М | | 2,020 | A | \$23.58 | 36,751 | D | | | |
| Common Stock | 12/18/2017 | | S | | 3,820(1) | D | \$42.0089(3) | 32,931 | D | | | |
| Common Stock | 12/19/2017 | | М | | 11,380 | A | \$23.58 | 44,311 | D | | | |
| Common Stock | 12/19/2017 | | S | | 11,380 ⁽¹⁾ | D | \$42.7928(4) | 32,931 | D | | | |

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

| (cig., puts, cuits, 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 Deri Sec Acq (A) o Disp of (I | umber vative urities uired or oosed D) (Instr. and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | 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 | | | | |
| Employee Stock Option (right to buy) | \$23.58 | 12/12/2017 | | М | | | 2,200 | (5) | 03/24/2023 | Common Stock | 2,200 | \$0 | 13,400 | D | |
| Employee Stock Option (right to buy) | \$23.58 | 12/18/2017 | | М | | | 2,020 | (5) | 03/24/2023 | Common Stock | 2,020 | \$0 | 11,380 | D | |
| Employee Stock Option (right to buy) | \$23.58 | 12/19/2017 | | М | | | 11,380 | (5) | 03/24/2023 | Common Stock | 11,380 | \$0 | 0 | D | |

Explanation of Responses:

1. The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan dated November 6, 2017.

This price reported is a weighted average price. These shares were sold in multiple transactions at per share prices ranging from \$42.0000 to \$42.0900. 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.
 This price reported is a weighted average price. These shares were sold in multiple transactions at per share prices ranging from \$42.0000 to \$42.0500. 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.
 This price reported is a weighted average price. These shares were sold in multiple transactions at per share prices ranging from \$42.0000 to \$42.0500. 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.
 This price reported is a weighted average price. These shares were sold in multiple transactions at per share prices ranging from \$42.1500 to \$43.1600. 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.
 The option vested on December 15, 2015.

Remarks:

/s/ Eric C. Scroggins, attorney-

12/19/2017

Date

<u>in-fact</u>

** 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 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.