# SEC Form 4

 $\square$ 

# 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

### OMB APPROVAL OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

	s of Reporting Perso	n*	2. Issuer Name <b>and</b> Ticker or Trading Symbol Allison Transmission Holdings Inc [ ALSN ]		tionship of Reporting Perso all applicable)	n(s) to Issuer	
<u>Dewey Lawre</u>	<u>ence E.</u>				Director	10% Owner	
				x	Officer (give title	Other (specify	
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year)		below) below)	below)	
ONE ALLISON WAY			12/12/2013		Chairman, President & CEO		
ONE ALLISON	WAY						
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	idual or Joint/Group Filing (	Check Applicable	
INDIANAPOLIS	5 IN	46222		Х	Form filed by One Report	ing Person	
·					Form filed by More than C Person	One Reporting	
(City)	(State)	(Zip)			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)		(1150.4)
Common Stock	12/12/2013		М		7,000	A	\$8.44	160,344	D	
Common Stock	12/12/2013		М		10,000	A	\$12.66	170,344	D	
Common Stock	12/12/2013		М		10,000	A	\$16.88	180,344	D	
Common Stock	12/12/2013		S <sup>(1)</sup>		27,000	D	\$25.9823 <sup>(2)</sup>	153,344	D	
Common Stock	12/13/2013		М		1,000	A	\$8.44	154,344	D	
Common Stock	12/13/2013		<b>S</b> <sup>(1)</sup>		1,000	D	\$26.35	153,344	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 Deri Seci Acq (A) o Disp of (E	umber vative urities uired or oosed O) (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)	\$8.44	12/12/2013		М			7,000	(3)	09/30/2017	Common Stock	7,000	\$0	131,997	D	
Employee Stock Option (right to buy)	\$12.66	12/12/2013		М			10,000	(3)	09/30/2017	Common Stock	10,000	\$0	1,215,739	D	
Employee Stock Option (right to buy)	\$16.88	12/12/2013		М			10,000	(3)	09/30/2017	Common Stock	10,000	\$0	1,460,128	D	
Employee Stock Option (right to buy)	\$8.44	12/13/2013		М			1,000	(3)	09/30/2017	Common Stock	1,000	\$0	130,997	D	

#### Explanation of Responses:

1. The sales reported in this Form 4 were affected pursuant to a Rule 10b5-1 plan adopted by the reporting person on November 19, 2013.

2. The price reported is a weighted average price. These shares were sold in multiple transactions at per share prices ranging from \$25.92 to \$26.05. 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 the footnote.

3. The option vested in five equal installments beginning on August 7, 2008.

**Remarks:** 

/s/ Eric C. Scroggins, attorney-

12/16/2013

\*\* Signature of Reporting Person Date

in-fact

 $^{\ast}$  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.