Allison Transmission Holdings Inc Form 4

August 23, 2013

# FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

(Ctata)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Wanaselja James L. Issuer Symbol Allison Transmission Holdings Inc (Check all applicable) [ALSN] (Last) (First) (Middle) 3. Date of Earliest Transaction Director 10% Owner Other (specify \_X\_\_ Officer (give title . (Month/Day/Year) below) ONE ALLISON WAY 08/21/2013 VP, NA Mkt Sales & Service (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting **INDIANAPOLIS, IN 46222** Person

| (City)                               | (State)                                 | (Zip) Tab   | ole I - Non-                           | Derivative                         | Secu        | rities Acquii        | ed, Disposed of,   | or Beneficiall                                | y Owned   |
|--------------------------------------|---|---|--|------------------------------------|-------------|----------------------|--|---|---|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transactic<br>Code<br>(Instr. 8) | 4. Securition Dispose (Instr. 3, 4 | ed of and : |                      | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported | 6. Ownership Form: Direct (D) or Indirect (I) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|                                      |   |   | Code V                                 | Amount                             | (A) or (D)  | Price                | Transaction(s) (Instr. 3 and 4)  | (Instr. 4)                                    |   |
| Common<br>Stock                      | 08/21/2013                              |   | M                                      | 23,000                             | A           | \$ 12.66             | 47,611   | D   |   |
| Common<br>Stock                      | 08/21/2013                              |   | S                                      | 23,000                             | D           | \$<br>22.3845<br>(1) | 24,611   | D   |   |
| Common<br>Stock                      | 08/22/2013                              |   | M                                      | 41,800                             | A           | \$ 12.66             | 66,411   | D   |   |
| Common<br>Stock                      | 08/22/2013                              |   | S                                      | 41,800                             | D           | \$<br>22.6989<br>(2) | 24,611   | D   |   |

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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474 (9-02)

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | 5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) |                    | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |                                     |
|---|---|--------------------------------------|---|--|---|--|--------------------|---|-------------------------------------|
|   |   |                                      |   | Code V                                 | (A) (D)   | Date<br>Exercisable                                      | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of Shares |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 12.66  | 08/21/2013                           |   | M                                      | 23,000  | (3)  | 09/30/2017         | Common<br>Stock   | 23,000                              |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 12.66  | 08/22/2013                           |   | M                                      | 41,800  | (3)  | 09/30/2017         | Common<br>Stock   | 41,800                              |

# **Reporting Owners**

| Reporting Owner Name / Address | Relationships |
|--------------------------------|---------------|
|                                |               |

Director 10% Owner Officer Other

Wanaselja James L.

ONE ALLISON WAY VP, NA Mkt Sales & Service

INDIANAPOLIS, IN 46222

## **Signatures**

/s/ Eric C. Scroggins,

attorney-in-fact 08/23/2013

\*\*Signature of Reporting Person Date

## **Explanation of Responses:**

- \* 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).

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- The price reported is a weighted average price. These shares were sold in multiple transactions at per share prices ranging from 22.3300 (1) to 22.4500. 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 fort in this footnote.
- The price reported is a weighted average price. These shares were sold in multiple transactions at per share prices ranging from 22.3500 (2) to 22.8700. 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 fort in this footnote.
- (3) The option vested in five equal annual installments beginning on August 7, 2008.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.