

ACHESON WILLIAM
Form 4
September 05, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 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, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
ACHESON WILLIAM

2. Issuer Name and Ticker or Trading Symbol
GWG Holdings, Inc. [GWGH]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
220 SOUTH SIXTH STREET,
SUITE 1200

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
08/16/2018

___ Director ___ 10% Owner
 Officer (give title below) ___ Other (specify below)
Chief Financial Officer

MINNEAPOLIS, MN 55402

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
___ Form filed by More than One Reporting Person

(City) (State) (Zip)

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) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount | (D) | Price |
| Common Stock, \$.001 par value | 08/16/2018 | | M | | 5,000 | A | \$ 7.92 5,000 |
| Common Stock, \$.001 par value | 08/16/2018 | | F | | 4,222 | D | \$ 11.5 778 |
| Common Stock, \$.001 par value | 08/16/2018 | | M | | 5,000 | A | \$ 9.01 5,778 |
| Common Stock, \$.001 | 08/16/2018 | | F | | 4,558 | D | \$ 1,220 10.95 |

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| | | | | | | | |
|--------------------------------|------------|---|--------|---|----------|--------|---|
| par value | | | | | | | |
| Common Stock, \$.001 par value | 08/16/2018 | M | 30,000 | A | \$ 8 | 31,220 | D |
| Common Stock, \$.001 par value | 08/16/2018 | F | 25,959 | D | \$ 10.95 | 5,261 | D |
| Common Stock, \$.001 par value | 08/16/2018 | M | 5,000 | A | \$ 9.25 | 10,261 | D |
| Common Stock, \$.001 par value | 08/16/2018 | F | 4,612 | D | \$ 10.95 | 5,649 | D |
| Common Stock, \$.001 par value | 08/20/2018 | M | 90,000 | A | \$ 7.53 | 95,649 | D |
| Common Stock, \$.001 par value | 08/20/2018 | F | 73,844 | D | \$ 11.5 | 21,805 | D |
| Common Stock, \$.001 par value | 08/20/2018 | M | 32,500 | A | \$ 7.46 | 54,305 | D |
| Common Stock, \$.001 par value | 08/20/2018 | M | 3,333 | A | \$ 6 | 57,638 | D |
| Common Stock, \$.001 par value | 08/20/2018 | M | 3,333 | A | \$ 6.35 | 60,971 | D |
| Common Stock, \$.001 par value | 08/20/2018 | M | 3,333 | A | \$ 6.41 | 64,304 | D |

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 Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |
|--|---|--------------------------------------|--|--------------------------------|--|--|---|
|--|---|--------------------------------------|--|--------------------------------|--|--|---|

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| Security | | | Code | V | (D) (Instr. 3, 4, and 5) | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
|---------------------------------------|---------|------------|------|---|--------------------------------|--------|---------------------|--------------------|-----------------|-------------------------------------|
| | | | | | (A) | (D) | | | | |
| Stock Options (right to buy) | \$ 7.92 | 08/16/2018 | M | | | 5,000 | 09/02/2017 | 09/01/2024 | Common Stock | 5,000 |
| Stock Options (right to buy) | \$ 9.01 | 08/16/2018 | M | | | 5,000 | 11/24/2017 | 11/23/2024 | Common Stock | 5,000 |
| Stock Options (right to buy) | \$ 8 | 08/16/2018 | M | | | 30,000 | 03/11/2018 | 03/10/2025 | Common Stock | 30,000 |
| Stock Options (right to buy) | \$ 9.25 | 08/16/2018 | M | | | 5,000 | 06/12/2018 | 06/11/2025 | Common Stock | 5,000 |
| Stock Options (right to buy) | \$ 7.53 | 08/20/2018 | M | | | 90,000 | 04/06/2018 | 04/05/2025 | Common Stock | 90,000 |
| Stock Options (right to buy) | \$ 7.46 | 08/20/2018 | M | | | 32,500 | 05/27/2017 | 05/26/2024 | Common Stock | 32,500 |
| Stock Options (right to buy) | \$ 6 | 08/20/2018 | M | | | 3,333 | 12/29/2017 | 12/28/2025 | Common Stock | 3,333 |
| Stock Options (right to buy) | \$ 6.35 | 08/20/2018 | M | | | 3,333 | 04/30/2018 | 04/29/2026 | Common Stock | 3,333 |
| Stock Options (right to buy) | \$ 6.41 | 08/20/2018 | M | | | 3,333 | 05/13/2018 | 05/13/2026 | Common Stock | 3,333 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|-------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| ACHESON WILLIAM 220 SOUTH SIXTH STREET, SUITE 1200 MINNEAPOLIS, MN 55402 | | | Chief Financial Officer | |

Signatures

/s/ William
Acheson

09/04/2018

__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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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