

STAR JAMES A
Form 4
May 04, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
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 *
STAR JAMES A

2. Issuer Name and Ticker or Trading Symbol
Allison Transmission Holdings Inc [ALSN]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
05/02/2018

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

C/O ALLISON TRANSMISSION HOLDINGS INC, ONE ALLISON WAY

(Street)

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

INDIANAPOLIS, IN 46222

(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 (A) or (D) Price | | | |
| Common Stock | 05/02/2018 | | S | 5,900 (1) D \$ 40.2754 | 640,900 | I | By Areljay II LLC (2) |
| Common Stock | 05/02/2018 | | S | 21,445 (1) D \$ 40.2754 | 2,152,222 | I | By The Crown Fund (2) |
| Common Stock | 05/02/2018 | | S | 11,100 (1) D \$ 40.2754 | 1,042,061 | I | By The Crown Fund II (2) |

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| | | | | | | | | |
|--------------|------------|---|----------------------|---|------------|-----------|---|--------------------------|
| Common Stock | 05/02/2018 | S | <u>3,005</u> (1) | D | \$ 40.2754 | 38,895 | D | |
| Common Stock | 05/03/2018 | S | <u>4,700</u> (1) | D | \$ 40.1204 | 636,200 | I | By Areljay II LLC (2) |
| Common Stock | 05/03/2018 | S | <u>15,740</u> (1) | D | \$ 40.1204 | 2,136,482 | I | By The Crown Fund (2) |
| Common Stock | 05/03/2018 | S | <u>7,700</u> (1) | D | \$ 40.1204 | 1,034,361 | I | By The Crown Fund II (2) |
| Common Stock | 05/03/2018 | S | <u>2,352</u> (1) | D | \$ 40.1204 | 36,543 | D | |
| Common Stock | 05/04/2018 | S | <u>4,700</u> (1) | D | \$ 40.7728 | 631,500 | I | By Areljay II LLC (2) |
| Common Stock | 05/04/2018 | S | <u>15,405</u> (1) | D | \$ 40.7728 | 2,121,077 | I | By The Crown Fund (2) |
| Common Stock | 05/04/2018 | S | <u>7,400</u> (1) | D | \$ 40.7728 | 1,026,961 | I | By The Crown Fund II (2) |
| Common Stock | 05/04/2018 | S | <u>2,059</u> (1) | D | \$ 40.7728 | 34,484 | D | |
| Common Stock | | | | | | 19,900 | I | By HCNI II, LLC (2) |

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 Security | 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 (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Own Follo Trans (Instr |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|

| | | | | | |
|------|---|---------------------|--------------------|-------|--|
| | | | | | Amount or Number of Shares |
| | | Date Exercisable | Expiration Date | Title | |
| Code | V | (A) | (D) | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| STAR JAMES A C/O ALLISON TRANSMISSION HOLDINGS INC ONE ALLISON WAY INDIANAPOLIS, IN 46222 | X | | | |

Signatures

/s/Angie Newhouse, Attorney
in Fact 05/04/2018

__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).
- (1) These shares were sold in compliance with a Rule 10b5-1 sales plan entered into on February 17, 2018.
- These shares are held by the identified entities in which trusts established for the benefit of the reporting person's wife and children indirectly own interests. The reporting person is President and Chief Executive Officer of Longview Asset Management, LLC, which, by virtue of managing the investments of such entities, may be deemed to beneficially own the shares held by such entities. The reporting person disclaims beneficial ownership of the shares held by these entities except to the extent of his pecuniary interest therein, and the inclusion of these shares in this report shall not be deemed an admission of beneficial ownership of all the reported shares for purposes of Section 16 or for any other purpose.

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.