Allison Transmission Holdings Inc

Form 4

October 22, 2014

### FORM 4

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

OMB 3235-0287 Number: January 31,

**OMB APPROVAL** 

Check this box if no longer subject to Section 16.

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

Expires: 2005 Estimated average burden hours per response... 0.5

Form 4 or Form 5 obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Add Dewey Lawre	•	ing Person *	2. Issuer Name <b>and</b> Ticker or Trading Symbol	5. Relationship of Reporting Person(s) to Issuer			
			Allison Transmission Holdings Inc [ALSN]	(Check all applicable)			
(Last)	(First)	(Middle)	3. Date of Earliest Transaction	Director 10% Owner			
			(Month/Day/Year)	X Officer (give title Other (special below)			
ONE ALLISON WAY			10/20/2014	Chairman, President & CEO			
	(Street)		4. If Amendment, Date Original	6. Individual or Joint/Group Filing(Check			
			Filed(Month/Day/Year)	Applicable Line)			
INDIANAPOLIS, IN 46222				_X_ Form filed by One Reporting Person Form filed by More than One Reporting Person			

(City)	(State)	(Zip) Tab	le I - Non-	Derivative	Secui	rities Acquii	ed, Disposed of,	or Beneficiall	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactic Code (Instr. 8)	4. Securit or Dispos (Instr. 3, 4	ed of (	` ′	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)
Common Stock	10/20/2014		M	18,597	A	\$ 8.44	264,341	D	
Common Stock	10/20/2014		S <u>(1)</u>	18,597	D	\$ 29.18 (2)	245,744	D	
Common Stock	10/21/2014		M	6,400	A	\$ 8.44	252,144	D	
Common Stock	10/21/2014		M	7,200	A	\$ 12.66	259,344	D	
Common Stock	10/21/2014		S <u>(1)</u>	13,600	D	\$ 29.1387 (3)	245,744	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 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. Transactic Code (Instr. 8)	TransactionDerivative Code Securities		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 8.44	10/20/2014		M		18,597	<u>(4)</u>	09/30/2017	Common Stock	18,597
Employee Stock Option (right to buy)	\$ 8.44	10/21/2014		M		6,400	<u>(4)</u>	09/30/2017	Common Stock	6,400
Employee Stock Option (right to buy)	\$ 12.66	10/21/2014		M		7,200	<u>(4)</u>	09/30/2017	Common Stock	7,200

# **Reporting Owners**

Reporting Owner Name / Address	Relationships
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Director 10% Owner Officer Other

Dewey Lawrence E. ONE ALLISON WAY INDIANAPOLIS, IN 46222

Chairman, President & CEO

## **Signatures**

/s/ Eric C. Scroggins, attorney-in-fact

10/22/2014

Reporting Owners 2

\*\*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) The sales reported in this Form 4 were affected pursuant to a Rule 10b5-1 plan.
- The price reported is a weighted average price. These shares were sold in multiple transactions at per share prices ranging from \$29.0000 (2) to \$29.3500. 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.
- The price reported is a weighted average price. These shares were sold in multiple transactions at per share prices ranging from \$29,0000
- (3) to \$29.2850. 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.
- (4) The option vested in five equal 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.

Signatures 3