#### Edgar Filing: Alliance Holdings GP, L.P. - Form 4

Alliance Holdings GP, L.P. Form 4 November 06, 2014

#### **OMB APPROVAL** FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 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) 1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading **CRAFT JOSEPH W III** Issuer Symbol Alliance Holdings GP, L.P. [AHGP] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) \_\_X\_\_ Director X\_\_ 10% Owner \_ Other (specify \_X\_\_ Officer (give title 1717 S. BOULDER 11/03/2014 below) below) **AVENUE, SUITE 600** President and Chief Executive (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 **TULSA, OK 74119** Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of 7. Nature of 6. Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of Securities Ownership Indirect (Instr. 3) any Code (D) Beneficially Form: Beneficial Direct (D) Ownership (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Following or Indirect (Instr. 4) Reported $(\mathbf{I})$ (A) Transaction(s) (Instr. 4) or (Instr. 3 and 4) Code V Amount (D) Price

Common Unit						20,641,168	Ι	By Alliance Resource GP, LLC $(1)$
Common Unit						2,463,449 <u>(2)</u>	D	
Common Unit	11/03/2014	J	76,200 (5)	D	\$ 0	18,375,610	I	Through members of 13d group (3)
Common units						315,941	Ι	Alliance Management Holdings III,

#### LLC (4)

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

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 control number.

# 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)	5. ofNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Titl Amou Under Securi (Instr.	nt of lying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

## **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
CRAFT JOSEPH W III 1717 S. BOULDER AVENUE SUITE 600 TULSA, OK 74119	Х	Х	President and Chief Executive				

## Signatures

Joseph W. Craft by Amber Blythe, pursuant to power of attorney dated April 10, 2013

\*\*Signature of Reporting Person

## **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) Joseph W. Craft III ("Craft") indirectly jointly owns 20,641,168 Common Units of AHGP through his joint ownership of Alliance Resource GP, LLC with Kathleen S. Craft.
- (2) Held through the JWC III Rev Trust, of which Mr. Craft is trustee.
- (3) These AHGP common units are held by certain entities and individuals (some of whom are current or former members of management of ARLP) other than Mr. Craft with whom he may be deemed to comprise a group under Rule 13d-5(b) of the Exchange Act. Mr. Craft

11/06/2014

Date

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disclaims beneficial ownership of the reported securities.

(4) These AHGP common units are held through Alliance Management Holdings III, LLC ("AMH III"), which acquired 600,000 Common
 (4) Units of AHGP in connection with the AMH Liquidation and the AMH II Liquidation. Mr. Craft is the sole director of AMH III and owns 42.43% of the membership interests in AMH III. Mr. Craft disclaims beneficial ownership of the reported securities except to the extent of his pecuniary interests therein.

The units involved are subject to a Transfer Restrictions Agreement that may cause the holders to comprise a group under Exchange Act Rule 13d-5(b). A special committee of the board of directors of Alliance GP, LLC, the general partner of AHGP, authorized the release

 (5) Rule 13d-3(b). A special commute of the board of uncetors of Annance of , ELC, the general parties of Anton, automized the release from the restrictions of the Transfer Restrictions Agreement of certain units of each holder that is subject to the agreement. The units "disposed of" reflected in column 4 are units so released. Mr. Craft is not selling these or any other AHGP units.

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.