

ALLIANCE RESOURCE PARTNERS LP

Form 4

February 08, 2016

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

Check this box  
if no longer  
subject to  
Section 16.  
Form 4 or  
Form 5  
obligations  
may continue.  
See Instruction  
1(b).

**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

## OMB APPROVAL

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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
CRAFT JOSEPH W III

2. Issuer Name **and** Ticker or Trading  
Symbol  
ALLIANCE RESOURCE  
PARTNERS LP [ARLP]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)

1717 S. BOULDER  
AVENUE, SUITE 400

(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
02/04/2016

☐ Director ☒ 10% Owner  
☒ Officer (give title below) ☐ Other (specify below)  
President and Chief Executive

TULSA, OK 74119

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<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>Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
|                                       |                                         |                                                             | Code                                    | V Amount (A) or (D) Price                                                  |                                                                                                                    |                                                                      |                                                                   |
| Common<br>Unit                        |                                         |                                                             |                                         |                                                                            | 714,902                                                                                                            | D                                                                    |                                                                   |
| Common<br>Unit                        |                                         |                                                             |                                         |                                                                            | 2,000                                                                                                              | I                                                                    | By son                                                            |
| Common<br>Unit                        |                                         |                                                             |                                         |                                                                            | 31,088,338                                                                                                         | I                                                                    | By<br>Alliance<br>Holdings<br>GP, L.P. <sup>(4)</sup>             |

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. Title and Amount of Underlying Securities (Instr. 3 and 4) |                            |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|-----|---------------------------------------------------------------|-----------------|---------------------------------------------------------------|----------------------------|
|                                            |                                                        |                                      |                                                    | Code                           | V                                                                                       | (A)                                                      | (D) | Date Exercisable                                              | Expiration Date | Title                                                         | Amount or Number of Shares |
| Restricted Unit                            | (2)                                                    | 02/04/2016                           |                                                    | A                              |                                                                                         | 78,555                                                   |     | (1)                                                           | (3)             | Common unit                                                   | 78,555                     |

## Reporting Owners

| Reporting Owner Name / Address                                               | Relationships |           |                               |       |
|------------------------------------------------------------------------------|---------------|-----------|-------------------------------|-------|
|                                                                              | Director      | 10% Owner | Officer                       | Other |
| CRAFT JOSEPH W III<br>1717 S. BOULDER AVENUE<br>SUITE 400<br>TULSA, OK 74119 | X             | X         | President and Chief Executive |       |

## Signatures

Joseph W. Craft by Kenneth Hemm, pursuant to power of attorney dated April 10, 2013

02/08/2016

\_\_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 restricted units will vest on January 1, 2019 provided that the issuer meets certain financial tests. Once vested, the restricted units are to be settled in ARLP units.
- (2) 1 for 1
- (3) Not applicable

- (4) The reporting person indirectly holds 31,088,338 Common Units of ARLP through Alliance Holdings GP, L.P. ("AHGP"). Craft is a director, and through his ownership of C-Holdings, LLC, the sole owner of Alliance GP, LLC, the general partner of AHGP, and holds, directly or indirectly, a majority of the outstanding AHGP Common Units. AHGP owns 41.90% of the Common Units of ARLP. Craft disclaims beneficial ownership of the Common Units of ARLP held by AHGP except to the extent of his pecuniary interest therein.

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

## Edgar Filing: ALLIANCE RESOURCE PARTNERS LP - Form 4

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