

WESLEY CHARLES R
Form 4
June 04, 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

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
WESLEY CHARLES R

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)
TULSA, OK 74119
(City) (State) (Zip)

3. Date of Earliest Transaction (Month/Day/Year)
05/31/2018

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

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

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)
Common Unit	05/31/2018		A	(A) V Amount 1,035,728 (1)	A (1) 1,035,728	D (2)	
Common Unit	05/31/2018		A	635,618	A (1) 635,618	I	By Wesley Family LP (3)
Common Unit	05/31/2018		A	167,116	A (1) 167,116	I	By Trust (4)
Common Unit	05/31/2018		A	1,035,729	A (1) 1,035,729	I	By Trust (5)

Edgar Filing: WESLEY CHARLES R - Form 4

Common Unit	05/31/2018	A	715,506	A	<u>(1)</u>	715,506	I	By Trust <u>(6)</u>
Common Unit	05/31/2018	A	715,506	A	<u>(1)</u>	715,506	I	By Trust <u>(7)</u>

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.

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	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)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Phantom unit	<u>(8)</u>					<u>(9)</u>	<u>(10)</u>	Common unit	106,949

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
WESLEY CHARLES R 1717 S. BOULDER AVENUE SUITE 400 TULSA, OK 74119	X		Executive Vice President	

Signatures

/s/ Charles R. Wesley III by Kenneth Hemm, pursuant to power of attorney dated April 11, 2013

06/04/2018

 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).

Edgar Filing: WESLEY CHARLES R - Form 4

- The common units were acquired as consideration for the AHGP common units held by the reporting person immediately prior to the effectiveness of the transactions contemplated by the Simplification Agreement dated February 22, 2018 (the "Simplification Agreement"). Pursuant to the Simplification Agreement, all AHGP common units were canceled and converted into the right to receive all of the ARLP common units held by AHGP and its subsidiaries on May 31, 2018. Based on a formula calculated pursuant to the Simplification Agreement, the exchange ratio was 1.478181161 ARLP common units for each AHGP common unit.
- (1) Units held by the Charles Wesley Revocable Trust U/A dated 3/28/2006, which Charles R. Wesley III is trustee.
 - (2) Units held by the Wesley Family LP, which Charles R. Wesley III is trustee.
 - (3) Units held by the Charles R. Wesley Family Trust Irrevocable Trust Agreement, which Nancy Wesley is trustee.
 - (4) Units held by the Nancy Wesley Revocable Trust U/A dated 03/28/2006, which Nancy Wesley is trustee.
 - (5) Units held by the Charles Wesley 2016 Retained Annuity Trust, which Jeffrey Burns is trustee
 - (6) Units held by the Nancy Wesley 2016 Retained Annuity Trust, which Jeffrey Burns is trustee.
 - (7) 1 for 1
 - (8) The Phantom Units are to be settled in ARLP common units upon the reporting person's death or termination
 - (9) Not applicable

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.