Edgar Filing: ALLIANCE RESOURCE PARTNERS LP - Form 4

ALLIANCE RESOURCE PARTNERS LP

Form 4

February 16, 2016

FORM 4

subject to

Section 16.

Form 4 or

obligations

may continue.

See Instruction

Form 5

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

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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

1(b).

Common

unit

02/11/2016

(Print or Type Responses)

1 Name and Address of Departing De

| 1. Name and Address of Reporting Person <u>*</u> CANTRELL BRIAN L | | | 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) 3. Date of (Month/E) (Month/E) (Month/E) (Month/E) (Month/E) (Month/E) (Month/E) (Middle) 3. Date of (Month/E) (Month/E) (Middle) 3. Date of (Month/E) (Middle) | | | | ansaction | | | Director 10% Owner Senior VP and CFO | | | |
| (Street) 4. If Ar | | | | f Amendment, Date Original | | | | 6. Individual or Joint/Group Filing(Check | | | |
| TULSA, OK 74119 | | | | led(Month/Day/Year) | | | | Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person | | | |
| (City) | (State) | (Zip) | Tabl | e I - Non-D | erivative S | Securi | ities Acqu | uired, Disposed of | , or Beneficial | ly Owned | |
| 1.Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | Execution any | | 3. Transactio Code (Instr. 8) | 4. Securitin(A) or Dis (Instr. 3, 4) | posed | of (D) | 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 | 02/11/2016 | | | M | 14,334 | A | <u>(4)</u> | 94,100 | D | | |
| | | | | | | | \$ | | | | |

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

F

4,945

D

12.38

(5)

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89,155

D

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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 | rcise any Code Securities f (Month/Day/Year) (Instr. 8) Acquired (A) tive Disposed of (| | ative ties red (A) or sed of (D) | 6. Date Exercis Expiration Dat (Month/Day/Y | e | 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 |
| Phantom unit | <u>(1)</u> | 02/12/2016 | | A | 736 | | (3) | (2) | Common Unit | 736 |
| Restricted unit | <u>(4)</u> | 02/11/2016 | | M | | 14,334 | 02/11/2016 | (2) | Comon units | 14,334 |

Reporting Owners

Reporting Owner Name / Address

Director 10% Owner Officer Other

CANTRELL BRIAN L 1717 S. BOULDER AVENUE SUITE 400 TULSA, OK 74119

Senior VP and CFO

Signatures

/s/ Brian Cantrell by Kenneth Hemm, pursuant to power of attorney dated April 10, 2013

02/16/2016

**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)** 1 for 1
- (2) Not applicable
- (3) The Phantom units are to be settled in ARLP common units upon the reporting person's death or termination.
- On January 22, 2016, our Compensation Committee determined that the vesting requirements for the 2013 Long-Term Incentive Plan grants had been satisfied. As a result restricted units were determined to be vested effective January 1, 2016 and subsequently issued on February 11, 2016 based upon an ARLP unit price of \$12.38.
- (5) Upon vesting, restricted units are withheld by the Partnership for the payment of tax liability at the vesting price of \$12.38.

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.

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