Whelan Timothy J Form 3 February 12, 2018

# FORM 3

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

OMB APPROVAL

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SECURITIES

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

30(h) of the Investment Company Act of 1940

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement ALLIANCE RESOURCE PARTNERS LP [ARLP] Whelan Timothy J (Month/Day/Year) 02/08/2018 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 1717 SOUTH BOULDER (Check all applicable) **AVENUE, Â SUITE 400** (Street) 6. Individual or Joint/Group 10% Owner Director \_X\_\_ Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting Senior Vice President Sales Person TULSA, OKÂ 74119 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 1. Title of Security 2. Amount of Securities 4. Nature of Indirect Beneficial Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â Common unit D 20,223 Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) owned directly or indirectly. Persons who respond to the collection of information contained in this form are not

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

required to respond unless the form displays a

currently valid OMB control number.

1. Title of Derivative Security 3. Title and Amount of 5. 6. Nature of Indirect 2. Date Exercisable and **Expiration Date** Beneficial Ownership (Instr. 4) Securities Underlying Conversion Ownership (Month/Day/Year) Derivative Security or Exercise Form of (Instr. 5) (Instr. 4) Price of Derivative Derivative Security:

Title

Direct (D)

Security

#### Edgar Filing: Whelan Timothy J - Form 3

	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Restricted unit	(2)	(2)	Common unit	39,256	\$ <u>(1)</u>	D	Â
Restricted unit	(3)	(3)	Common unit	21,822	\$ <u>(1)</u>	D	Â
Restricted unit	(4)	(4)	Common unit	25,100	\$ <u>(1)</u>	D	Â
Phantom unit	(5)	(5)	Common unit	5,378	\$ <u>(1)</u>	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Whelan Timothy J 1717 SOUTH BOULDER AVENUE SUITE 400 TULSA, OK 74119	Â	Â	Senior Vice President Sales	Â		

### **Signatures**

/s/ Timothy Whelan, by Kenneth Hemm, pursuant to power of attorney dated February 6, 2018

02/12/2018

\*\*Signature of Reporting Person

Date

# **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(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) 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.
- (3) The restricted units will vest on January 1, 2020 provided that the issuer meets certain financial tests. Once vested, the restricted units are to be settled in ARLP units.
- (4) The restricted units will vest on January 1, 2021 provided that the issuer meets certain financial tests. Once vested, the restricted units are to be settled in ARLP units.
- (5) The Phantom units are to be settled in ARLP common units upon the reporting person's death or termination.

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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