

ACHESON WILLIAM
Form 4
September 05, 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 *
ACHESON WILLIAM

2. Issuer Name and Ticker or Trading Symbol
GWG Holdings, Inc. [GWGH]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
220 SOUTH SIXTH STREET,
SUITE 1200

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
08/16/2018

____ Director
 Officer (give title below)
____ 10% Owner
____ Other (specify below)
Chief Financial Officer

MINNEAPOLIS, MN 55402

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 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)
			Code	V	Amount	(D)	Price
Common Stock, \$.001 par value	08/16/2018		M		5,000	A	\$ 7.92 5,000
Common Stock, \$.001 par value	08/16/2018		F		4,222	D	\$ 11.5 778
Common Stock, \$.001 par value	08/16/2018		M		5,000	A	\$ 9.01 5,778
Common Stock, \$.001	08/16/2018		F		4,558	D	\$ 1,220 10.95

Edgar Filing: ACHESON WILLIAM - Form 4

par value							
Common Stock, \$.001 par value	08/16/2018	M	30,000	A	\$ 8	31,220	D
Common Stock, \$.001 par value	08/16/2018	F	25,959	D	\$ 10.95	5,261	D
Common Stock, \$.001 par value	08/16/2018	M	5,000	A	\$ 9.25	10,261	D
Common Stock, \$.001 par value	08/16/2018	F	4,612	D	\$ 10.95	5,649	D
Common Stock, \$.001 par value	08/20/2018	M	90,000	A	\$ 7.53	95,649	D
Common Stock, \$.001 par value	08/20/2018	F	73,844	D	\$ 11.5	21,805	D
Common Stock, \$.001 par value	08/20/2018	M	32,500	A	\$ 7.46	54,305	D
Common Stock, \$.001 par value	08/20/2018	M	3,333	A	\$ 6	57,638	D
Common Stock, \$.001 par value	08/20/2018	M	3,333	A	\$ 6.35	60,971	D
Common Stock, \$.001 par value	08/20/2018	M	3,333	A	\$ 6.41	64,304	D

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	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	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)
--	---	--------------------------------------	--	--------------------------------	--	--	---

Edgar Filing: ACHESON WILLIAM - Form 4

Security			Code	V	(D) (Instr. 3, 4, and 5)		Date Exercisable	Expiration Date	Title	Amount or Number of Shares
					(A)	(D)				
Stock Options (right to buy)	\$ 7.92	08/16/2018	M			5,000	09/02/2017	09/01/2024	Common Stock	5,000
Stock Options (right to buy)	\$ 9.01	08/16/2018	M			5,000	11/24/2017	11/23/2024	Common Stock	5,000
Stock Options (right to buy)	\$ 8	08/16/2018	M			30,000	03/11/2018	03/10/2025	Common Stock	30,000
Stock Options (right to buy)	\$ 9.25	08/16/2018	M			5,000	06/12/2018	06/11/2025	Common Stock	5,000
Stock Options (right to buy)	\$ 7.53	08/20/2018	M			90,000	04/06/2018	04/05/2025	Common Stock	90,000
Stock Options (right to buy)	\$ 7.46	08/20/2018	M			32,500	05/27/2017	05/26/2024	Common Stock	32,500
Stock Options (right to buy)	\$ 6	08/20/2018	M			3,333	12/29/2017	12/28/2025	Common Stock	3,333
Stock Options (right to buy)	\$ 6.35	08/20/2018	M			3,333	04/30/2018	04/29/2026	Common Stock	3,333
Stock Options (right to buy)	\$ 6.41	08/20/2018	M			3,333	05/13/2018	05/13/2026	Common Stock	3,333

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
ACHESON WILLIAM 220 SOUTH SIXTH STREET, SUITE 1200 MINNEAPOLIS, MN 55402			Chief Financial Officer	

Signatures

/s/ William
Acheson

09/04/2018

__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).

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.