

Abramson David H  
Form 4  
September 05, 2018

**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

OMB  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Abramson David H

(Last) (First) (Middle)

PARKDALE PLAZA, SUITE  
500, 1660 SOUTH HIGHWAY 100

(Street)

MINNEAPOLIS, MN 55416

(City) (State) (Zip)

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

3. Date of Earliest Transaction  
(Month/Day/Year)  
08/21/2018

4. If Amendment, Date Original  
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner  
☐ Officer (give title below) ☐ Other (specify below)

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 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 Stock, \$.001 par value	08/21/2018		M	30,000 A	\$ 7.52 30,000	D	
Common Stock, \$.001 par value	08/21/2018		F	25,180 D	\$ 11.05 4,820	D	
Common Stock, \$.001 par value	08/21/2018		M	5,000 A	\$ 7.52 9,820	D	

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Common Stock, \$.001 par value	08/21/2018	F	4,197	D	\$ 11.05	5,623	D
Common Stock, \$.001 par value	08/21/2018	M	2,500	A	\$ 7.46	8,123	D
Common Stock, \$.001 par value	08/21/2018	F	2,092	D	\$ 11.05	6,031	D
Common Stock, \$.001 par value	08/21/2018	M	2,500	A	\$ 7.46	8,531	D
Common Stock, \$.001 par value	08/21/2018	F	2,092	D	\$ 11.05	6,439	D
Common Stock, \$.001 par value	08/21/2018	M	2,500	A	\$ 10.25	8,939	D
Common Stock, \$.001 par value	08/21/2018	F	2,410	D	\$ 11.05	6,529	D
Common Stock, \$.001 par value	08/21/2018	M	2,500	A	\$ 6.76	9,029	D
Common Stock, \$.001 par value	08/21/2018	F	2,012	D	\$ 11.05	7,017	D
Common Stock, \$.001 par value	08/21/2018	M	2,500	A	\$ 7.75	9,517	D
Common Stock, \$.001 par value	08/21/2018	F	2,125	D	\$ 11.05	7,392	D
	08/21/2018	M	2,500	A	\$ 8.95	9,892	D

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Common Stock, \$.001 par value							
Common Stock, \$.001 par value	08/21/2018	F	2,261	D	\$ 11.05	7,631	D
Common Stock, \$.001 par value	08/21/2018	M	2,500	A	\$ 8.45	10,131	D
Common Stock, \$.001 par value	08/21/2018	F	2,204	D	\$ 11.05	7,927	D
Common Stock, \$.001 par value	08/21/2018	M	2,500	A	\$ 6.44	10,427	D
Common Stock, \$.001 par value	08/21/2018	F	1,976	D	\$ 11.05	8,451	D
Common Stock, \$.001 par value	08/21/2018	M	2,500	A	\$ 6.17	10,951	D
Common Stock, \$.001 par value	08/21/2018	F	1,945	D	\$ 11.05	9,006	D
Common Stock, \$.001 par value	08/21/2018	M	2,500	A	\$ 7	11,506	D
Common Stock, \$.001 par value	08/21/2018	F	2,039	D	\$ 11.05	9,467	D
Common Stock, \$.001 par value	08/21/2018	M	28,000	A	\$ 6.74	37,467	D
	08/21/2018	F	22,507	D		14,960	D

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Common Stock,  
\$.001 par value

\$ 11.05

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)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Options (right to buy)	\$ 7.52	08/21/2018		M	30,000	07/01/2016	10/28/2023	Common Stock, \$.001 par value	30,000
Stock Options (right to buy)	\$ 7.52	08/21/2018		M	5,000	01/01/2014	01/01/2024	Common Stock	5,000
Stock Options (right to buy)	\$ 7.46	08/21/2018		M	2,500	04/01/2014	03/31/2024	Common Stock	2,500
Stock Options (right to buy)	\$ 7.46	08/21/2018		M	2,500	07/01/2014	06/30/2024	Common Stock	2,500
Stock Options (right to buy)	\$ 10.25	08/21/2018		M	2,500	10/01/2014	09/30/2024	Common Stock	2,500
Stock Options (right to	\$ 6.76	08/21/2018		M	2,500	01/01/2015	12/31/2024	Common Stock	2,500

buy)

Stock Options (right to buy)	\$ 7.75	08/21/2018	M	2,500	04/01/2015	03/31/2025	Common Stock	2,500
Stock Options (right to buy)	\$ 8.95	08/21/2018	M	2,500	07/01/2015	06/30/2025	Common Stock	2,500
Stock Options (right to buy)	\$ 8.45	08/21/2018	M	2,500	10/01/2015	09/30/2025	Common Stock	2,500
Stock Options (right to buy)	\$ 6.44	08/21/2018	M	2,500	01/01/2016	12/31/2025	Common Stock	2,500
Stock Options (right to buy)	\$ 6.17	08/21/2018	M	2,500	04/01/2016	04/01/2026	Common Stock	2,500
Stock Options (right to buy)	\$ 7	08/21/2018	M	2,500	07/01/2016	07/01/2026	Common Stock	2,500
Stock Options (right to buy)	\$ 6.74	08/21/2018	M	28,000	07/01/2018	07/22/2026	Common Stock	28,000

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Abramson David H PARKDALE PLAZA, SUITE 500 1660 SOUTH HIGHWAY 100 MINNEAPOLIS, MN 55416	X			

## Signatures

/s/ William Acheson, as Attorney-in-fact for David H. Abramson

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).

### Remarks:

Exhibit 24.1 Power of Attorney previously filed and incorporated herein by reference to Form 3 filed on 9/18/2014.

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

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