

Gingrich James A
Form 4
September 08, 2017

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
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
Gingrich James A

2. Issuer Name **and** Ticker or Trading
Symbol
ALLIANCEBERNSTEIN
HOLDING L.P. [AB]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction
(Month/Day/Year)
09/06/2017

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

C/O ALLIANCEBERNSTEIN
L.P., 1345 AVENUE OF THE
AMERICAS

(Street)

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
X Form filed by One Reporting Person
____ Form filed by More than One Reporting
Person

NEW YORK, NY 10105

(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. 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)
units rep. assignments of beneficial owner. of lp interests ⁽¹⁾	09/06/2017		S ⁽²⁾	3,500 D	\$ 23.4 136,159	D	
units rep. assignments of beneficial owner. of lp interests ⁽¹⁾	09/06/2017		M	3,500 A	\$ 17.05 139,659	D	

units rep. assignments of beneficial owner. of lp interests ⁽¹⁾	09/06/2017	<u>S</u> ⁽²⁾	3,500	D	\$ 23.4	136,159	D
units rep. assignments of beneficial owner. of lp interests ⁽¹⁾	09/07/2017	<u>S</u> ⁽²⁾	3,500	D	\$ 23.55	132,659	D
units rep. assignments of beneficial owner. of lp interests ⁽¹⁾	09/07/2017	M	3,500	A	\$ 17.05	136,159	D
units rep. assignments of beneficial owner. of lp interests ⁽¹⁾	09/07/2017	<u>S</u> ⁽²⁾	3,500	D	\$ 23.55	132,659	D
units rep. assignments of beneficial owner. of lp interests ⁽¹⁾	09/08/2017	<u>S</u> ⁽²⁾	3,500	D	\$ 23.25	129,159	D
units rep. assignments of beneficial owner. of lp interests ⁽¹⁾	09/08/2017	M	2,784	A	\$ 17.05	131,943	D
units rep. assignments of beneficial owner. of lp interests ⁽¹⁾	09/08/2017	<u>S</u> ⁽²⁾	2,784	D	\$ 23.25	129,159	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	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of Derivative Securities	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities
---------------------------------------	------------------------------	---	---	------------------------	--	--	--

Edgar Filing: Gingrich James A - Form 4

(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)					(Instr. 3 and 4)	
			Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
AB Holding Unit option (right to buy)	\$ 17.05	09/06/2017	M		3,500		01/23/2010 ⁽³⁾	01/23/2019	AB Holding Units	3,500
AB Holding Unit option (right to buy)	\$ 17.05	09/07/2017	M		3,500		01/23/2010 ⁽³⁾	01/23/2019	AB Holding Units	3,500
AB Holding Unit option (right to buy)	\$ 17.05	09/08/2017	M		2,784		01/23/2010 ⁽³⁾	01/23/2019	AB Holding Units	2,784

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
Gingrich James A C/O ALLIANCEBERNSTEIN L.P. 1345 AVENUE OF THE AMERICAS NEW YORK, NY 10105	Chief Operating Officer

Signatures

/s/ David M. Lesser,
attorney-in-fact

09/08/2017

__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)

Edgar Filing: Gingrich James A - Form 4

Units representing assignments of beneficial ownership of limited partnership interests in AllianceBernstein Holding L.P. ("AB Holding Units").

(2) Reporting Person sold AB Holding Units pursuant to a Rule 10b5-1 Plan.

(3) The option vested in equal annual increments on each of January 23, 2010, 2011, 2012, 2013 and 2014.

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.