

ACHESON WILLIAM  
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  
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 \*  
ACHESON WILLIAM

(Last) (First) (Middle)

220 SOUTH SIXTH STREET,  
SUITE 1200

(Street)

MINNEAPOLIS, MN 55402

(City) (State) (Zip)

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

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

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_\_\_X\_\_\_\_ Officer (give title below) \_\_\_\_ Other (specify below)

Chief Financial Officer

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_\_\_X\_\_\_\_ 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 (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)
Common Stock, \$.001 par value	08/16/2018		M	5,000 A \$ 7.92	5,000	D	
Common Stock, \$.001 par value	08/16/2018		F	4,222 D \$ 11.5	778	D	
Common Stock, \$.001 par value	08/16/2018		M	5,000 A \$ 9.01	5,778	D	
Common Stock, \$.001	08/16/2018		F	4,558 D \$	1,220	D	
				10.95			

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par value

Common Stock, \$.001	08/16/2018	M	30,000	A	\$ 8	31,220	D
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par value

Common Stock, \$.001	08/16/2018	F	25,959	D	\$ 10.95	5,261	D
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par value

Common Stock, \$.001	08/16/2018	M	5,000	A	\$ 9.25	10,261	D
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par value

Common Stock, \$.001	08/16/2018	F	4,612	D	\$ 10.95	5,649	D
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par value

Common Stock, \$.001	08/20/2018	M	90,000	A	\$ 7.53	95,649	D
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par value

Common Stock, \$.001	08/20/2018	F	73,844	D	\$ 11.5	21,805	D
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par value

Common Stock, \$.001	08/20/2018	M	32,500	A	\$ 7.46	54,305	D
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par value

Common Stock, \$.001	08/20/2018	M	3,333	A	\$ 6	57,638	D
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par value

Common Stock, \$.001	08/20/2018	M	3,333	A	\$ 6.35	60,971	D
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par value

Common Stock, \$.001	08/20/2018	M	3,333	A	\$ 6.41	64,304	D
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par value

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)
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Security			(D) (Instr. 3, 4, and 5)		Date Exercisable	Expiration Date	Title	Amount or Number of Shares
			Code	V (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.

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