

Abramson David H
Form 4
September 05, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 *
Abramson David H

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)

PARKDALE PLAZA, SUITE
500, 1660 SOUTH HIGHWAY 100

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

08/21/2018

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

(Street)

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

MINNEAPOLIS, MN 55416

(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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock, \$.001 par value | 08/21/2018 | | M | | 30,000 | A | \$ 7.52 |
| | | | | | 30,000 | | |
| Common Stock, \$.001 par value | 08/21/2018 | | F | | 25,180 | D | \$ 11.05 |
| | | | | | 4,820 | | |
| Common Stock, \$.001 par value | 08/21/2018 | | M | | 5,000 | A | \$ 7.52 |
| | | | | | 9,820 | | |

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| | | | | | | | |
|---------------------------------|------------|---|-------|---|----------|-------|---|
| Common Stock, \$0.001 par value | 08/21/2018 | F | 4,197 | D | \$ 11.05 | 5,623 | D |
| Common Stock, \$0.001 par value | 08/21/2018 | M | 2,500 | A | \$ 7.46 | 8,123 | D |
| Common Stock, \$0.001 par value | 08/21/2018 | F | 2,092 | D | \$ 11.05 | 6,031 | D |
| Common Stock, \$0.001 par value | 08/21/2018 | M | 2,500 | A | \$ 7.46 | 8,531 | D |
| Common Stock, \$0.001 par value | 08/21/2018 | F | 2,092 | D | \$ 11.05 | 6,439 | D |
| Common Stock, \$0.001 par value | 08/21/2018 | M | 2,500 | A | \$ 10.25 | 8,939 | D |
| Common Stock, \$0.001 par value | 08/21/2018 | F | 2,410 | D | \$ 11.05 | 6,529 | D |
| Common Stock, \$0.001 par value | 08/21/2018 | M | 2,500 | A | \$ 6.76 | 9,029 | D |
| Common Stock, \$0.001 par value | 08/21/2018 | F | 2,012 | D | \$ 11.05 | 7,017 | D |
| Common Stock, \$0.001 par value | 08/21/2018 | M | 2,500 | A | \$ 7.75 | 9,517 | D |
| Common Stock, \$0.001 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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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 buy) | \$ 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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