Gingrich James A Form 4 February 27, 2019

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

**OMB** 3235-0287

Estimated average

Check this box if no longer subject to Section 16.

### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

Number: January 31, Expires: 2005

**OMB APPROVAL** 

Form 4 or Form 5 obligations may continue.

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

burden hours per response... 0.5

See Instruction

1(b).

(Print or Type Responses)

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

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

02/25/2019

ALLIANCEBERNSTEIN HOLDING L.P. [AB]

(Check all applicable)

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

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

Chief Operating Officer

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

**AMERICAS** 

(City)

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Applicable Line)

(Street)

(State)

(Zip)

Filed(Month/Day/Year)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Table I. Non Derivative Securities Acquired Disposed of or Peneficially Owned

NEW YORK, NY 10105

| (- 3)                                | ()                                   | \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \                       | ie i - Non-                             | Derivative                                  | Secur  | ities Acq          | uirea, Disposea o  | i, or Beneficial   | ly Ownea  |
|--------------------------------------|--------------------------------------|---|---|---|--------|--------------------|--|--|---|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securit<br>on(A) or Dis<br>(Instr. 3, 4) | sposed | of (D)             | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
| AB<br>Holding<br>Units (1)           | 02/25/2019                           |   | S                                       | 20,000                                      | D      | \$<br>29.38<br>(2) | 24,909   | D  |   |
| AB Holding Units (1)                 | 02/26/2019                           |   | S                                       | 24,909                                      | D      | \$<br>29.04<br>(3) | 0  | D  |   |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form

### Edgar Filing: Gingrich James A - Form 4

# displays a currently valid OMB control

### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of | 2.          | 3. Transaction Date | 3A. Deemed         | 4.          | 5.         | 6. Date Exerc    | cisable and | 7. Titl | e and    | 8. Price of | 9. Nu  |
|-------------|-------------|---------------------|--------------------|-------------|------------|------------------|-------------|---------|----------|-------------|--------|
| Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | Transaction | orNumber   | Expiration D     | ate         | Amou    | int of   | Derivative  | Deriv  |
| Security    | or Exercise |                     | any                | Code        | of         | (Month/Day/      | Year)       | Under   | lying    | Security    | Secui  |
| (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8)  | Derivative | e                |             | Securi  | ities    | (Instr. 5)  | Bene   |
|             | Derivative  |                     |                    |             | Securities |                  |             | (Instr. | 3 and 4) |             | Owne   |
|             | Security    |                     |                    |             | Acquired   |                  |             |         |          |             | Follo  |
|             | ·           |                     |                    |             | (A) or     |                  |             |         |          |             | Repo   |
|             |             |                     |                    |             | Disposed   |                  |             |         |          |             | Trans  |
|             |             |                     |                    |             | of (D)     |                  |             |         |          |             | (Instr |
|             |             |                     |                    |             | (Instr. 3, |                  |             |         |          |             |        |
|             |             |                     |                    |             | 4, and 5)  |                  |             |         |          |             |        |
|             |             |                     |                    |             |            |                  |             |         |          |             |        |
|             |             |                     |                    |             |            |                  |             |         | Amount   |             |        |
|             |             |                     |                    |             |            | Date             | Expiration  | TC:41   | or       |             |        |
|             |             |                     |                    |             |            | Exercisable Date | -           | of      | Number   |             |        |
|             |             |                     |                    | C 1 V       | (A) (D)    |                  |             |         |          |             |        |
|             |             |                     |                    | Code V      | (A) (D)    |                  |             |         | Shares   |             |        |

# **Reporting Owners**

Relationships Reporting Owner Name / Address

> 10% Owner Officer Other Director

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, by pwr. 02/27/2019 of att'y

\*\*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).
- Units representing assignments of beneficial ownership of limited partnership interests in AllianceBernstein Holding L.P. ("AB Holding **(1)** Units").
- Reporting Person sold 20,000 AB Holding Units at prices ranging from \$29.26 to \$29.66 per Unit. The price set forth in the table is the **(2)** weighted average of his sales at these prices.
- Reporting Person sold 24,909 AB Holding Units at prices ranging from \$28.76 to \$29.28 per Unit. The price set forth in the table is the **(3)** weighted average of his sales at these prices.

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.

Reporting Owners 2