## Edgar Filing: Advanced Emissions Solutions, Inc. - Form 4/A

Advanced Emissions Solutions, Inc. Form 4/A 10 2012 ът

11/18/2013

Stock

November 1	9, 2013											
<b>FORM 4</b> UNITED STATES SECURITIES AND EXCHANGE COMMISSION								OMB APPROVAL				
				shington					Number:	3235-0287		
Check th if no lon subject t Section Form 4 o Form 5	ger o STATEN 16. or									xpires: January 31, 2005 stimated average urden hours per sponse 0.5		
obligatio may con <i>See</i> Instr 1(b).	ons Section 17(	(a) of the l	Public U	Jtility Ho	lding Cor	npan	•	935 or Section				
(Print or Type	Responses)											
Miller Richard Symb								5. Relationship of Reporting Person(s) to Issuer				
				ced Emiss []	sions Sol	ution	s, Inc.	(Check all applicable)				
(M			(v(o))(f)/(Jav/(f)) = -					Director 10% Owner _X Officer (give title Other (specify elow) below) VP				
Filed				"iled(Month/Day/Year) A				5. Individual or Joint/Group Filing(Check Applicable Line) X_Form filed by One Reporting Person				
WALNUTI	PORT, PA 18088		11/19/2	2013			-	Form filed by Mo Person				
(City)	(State)	(Zip)	Tab	ole I - Non-	Derivative	Secu	rities Acqui	red, Disposed of,	or Beneficiall	y Owned		
1.Title of Security (Instr. 3)	ecurity (Month/Day/Year) Execution Date, if		Date, if	Code (Instr. 3, 4 and 5)				5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	OwnershipIndiaForm:BendDirect (D)Own	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
Common Stock	11/18/2013			Code V A	Amount 13,000 (1)	(D) A	Price \$ 15.18 (2)	(Instr. 3 and 4) 34,310 (3)	D			
Common Stock	11/18/2013			D	12,955 (4)	D	\$ 47.0818	21,355 <u>(3)</u>	D			
Common	11/10/2012			D	45 (4)	D	¢ 47.00	21,210(3)	D			

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

D

45 (4)

D

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02) required to respond unless the form displays a currently valid OMB control

D

\$47.02 21,310<sup>(3)</sup>

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#### number.

# 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. Transactio Code (Instr. 8)			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	\$ 15.18	11/18/2013		F	13	3,000	12/01/2005	12/31/2015	Common Stock	13,000 (5)

## **Reporting Owners**

Reporting Owner Name / Addres	SS	Relationships							
1 8	Director	10% Owner	Officer	Other					
Miller Richard 4589 LEHIGH DRIVE WALNUTPORT, PA 18088			VP						
Signatures									
Richard Miller	11/19/2013								

\*\*Signature of Reporting Person

# **Explanation of Responses:**

\* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).

Date

- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Represents the amount of stock options exercised.
- (2) Represents the exercise price.
- (3) Of the amount shown, 5,810 shares are held in the qualified pension plan account of the reporting person and 1,500 shares were issued pursuant to programs under the 2007 Plan, are not fully vested and are subject to certain repurchase rights.
- (4) Represents the number of shares sold upon exercising of stock options.
- (5) Represents the amount of stock options exercised.

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.