# Edgar Filing: ALLIANCE RESOURCE PARTNERS LP - Form 4

### ALLIANCE RESOURCE PARTNERS LP

Form 4 April 01, 2003

# FORM 4

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

#### OMB APPROVAL

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\_ 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

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

Filed By Romeo and Dye's Section 16 Filer www.section16.net

| 1. Name and Add Sachse Robert (                           |  |                                  | me and Tic<br>source Par  |  | P   | 6. Relationship of Reporting<br>Person(s)<br>to Issuer (Check all applicable) |   |  |   |   |   |  |  |
|---|--|----------------------------------|---|--|---|---|---|--|---|---|---|--|--|
| (Last) (First) (Middle)  1717 S. Boulder Avenue Suite 600 |  |                                  | 3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary) |  |   |   | M | Statement for onth/Day/Year 1/03   | 10<br><b>X</b>  | X Director  10% Owner  X Officer (give title below)  Other (specify below)        |   |  |  |
|   |  |                                  |   |  |   |   |   |  |   | xcutive Vice<br>resident  |   |  |  |
| (Street)  |  |                                  |   |  |   |   |   | If Amendment, ate of Original  | 7. Individual or Joint/Group Filing (Check Applicable Line) |   |   |  |  |
| Tulsa, OK 74119   |  |                                  |   |  |   |   |   | (Month/Day/Year)   |   | X Form filed by One Reporting Person Form filed by More than One Reporting Person |   |  |  |
| (City)  | (City) (State) (Zip)                                 |                                  |   | Table I Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |   |   |   |  |   |   |   |  |  |
| 1. Title of<br>Security<br>(Instr. 3)                     | 2. Trans-<br>action<br>Date<br>(Month/ Day/<br>Year) | 2A. Deemed<br>Execution<br>Date, | 3. Trans<br>action C<br>(Instr. 8<br>Code                                     | ode  | 4. Securitie<br>(A) or Disp<br>(Instr. 3, 4<br>Amount | osed o  |   | 5. Amount of<br>Securities<br>Beneficially<br>Owned Follow-<br>ing Reported<br>Transactions(s)<br>(Instr. 3 & 4) |   | ship Form:<br>Direct (D)<br>or Indirect (I)                                       | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |  |
| Common Unit   |  |                                  |   |  |   |   |   |  | 3,575   | D   |   |  |  |

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

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# FORM 4 (continued) Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(e.g., puts, calls, warrants, options, convertible securities)

| (org.) parts, carried, warrants, options, convertible securities, |                            |  |  |  |  |  |  |  |  |  |  |  |
|---|----------------------------|--|--|--|--|--|--|--|--|--|--|--|
| of 10.  | 11. Nature                 |  |  |  |  |  |  |  |  |  |  |  |
| Owner-  | of Indirect                |  |  |  |  |  |  |  |  |  |  |  |
| ship  | Beneficial                 |  |  |  |  |  |  |  |  |  |  |  |
| Form  | Ownership                  |  |  |  |  |  |  |  |  |  |  |  |
| of Deriv-   | (Instr. 4)                 |  |  |  |  |  |  |  |  |  |  |  |
| ative   |                            |  |  |  |  |  |  |  |  |  |  |  |
| Security:   |                            |  |  |  |  |  |  |  |  |  |  |  |
| •   | ship Iy Form of Derivative |  |  |  |  |  |  |  |  |  |  |  |

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

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|                    |         | Year)   | Year) |      |     | pose<br>D)<br>str. | d   |                         |                |  | ,     | Direct (D) or Indirect (I) (Instr. 4) |  |
|--------------------|---------|---------|-------|------|-----|--------------------|-----|-------------------------|----------------|--|-------|---------------------------------------|--|
|                    |         |         |       | Code | (A) |                    |     | Expira-<br>tion<br>Date |                | Amount<br>or<br>Number<br>of<br>Shares |       |                                       |  |
| Restricted<br>unit | 1 for 1 |         |       |      |     |                    | (1) |                         | Common<br>Unit |  | 4,500 | D                                     |  |
| Phantom<br>unit    | 1 for 1 | 4/1/03  |       | A    | 240 | )                  | (2) |                         | Common<br>Unit | 240                                    | 2,967 | D                                     |  |
| Restricted<br>unit | 1 for 1 | 3/24/03 |       | A    |     |                    | (3) | (3)                     | Common<br>Unit |  | 2,500 | D                                     |  |

Explanation of Responses:

(3) The Restricted units will vest on September 30, 2005 provided that the issuer meets certain financial tests and the subordination period described in the Agreement of Limited Partnership ends. Once vested the restricted units are to be settled in either cash or ARLP common units, at the election of the Compensation Committee.

By: /s/ Robert G. Sachse

<u>April 1, 2003</u>

Date

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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<sup>(1)</sup> The Restricted units will vest when the issuer meets certain financial tests described in the Agreement of Limited Partnership of the Issuer which would typically be no earlier than September 30, 2004. Once vested the restricted units are to be settled in either cash or ARLP common units, at the election of the Compensation Committee.

<sup>(2)</sup> The Phantom units are to be settled in either cash or ARLP common units, at the election of the Compensation Committee, upon the reporting person's death or termination.

<sup>\*\*</sup>Signature of Reporting Person

<sup>\*\*</sup>Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).