

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

Advanced Emissions Solutions, Inc.

Form 4

August 13, 2015

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 *
Amrhein Christine B.

(Last) (First) (Middle)

9135 S. RIDGELINE BLVD.,
SUITE 200, C/O ADVANCED
EMISSIONS SOLUTIONS, INC.

(Street)

HIGHLANDS RANCH, CO 80129

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol

Advanced Emissions Solutions, Inc.
[ADES]

3. Date of Earliest Transaction
(Month/Day/Year)
08/11/2015

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)
General Counsel

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 Ownership (Instr. 4)
Common Stock	08/11/2015		F	66 ⁽¹⁾ D \$ 10.15	31,720 ⁽²⁾	I	By Spouse
Common Stock	08/11/2015		D	726 ⁽³⁾ D \$ 0	30,994 ⁽²⁾	I	By Spouse
Common Stock					15,357 ⁽⁴⁾	D	

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**

SEC 1474
(9-02)

required to respond unless the form displays a currently valid OMB control 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. 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)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 10)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Amrhein Christine B.
9135 S. RIDGELINE BLVD., SUITE 200
C/O ADVANCED EMISSIONS SOLUTIONS, INC.
HIGHLANDS RANCH, CO 80129

General
Counsel

Signatures

/s/ Christine B.
Amrhein 08/13/2015

__Signature of Reporting Date
Person

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).

- The reporting person's spouse delivered stock to the Issuer to cover the payment of the tax liability incident to the vesting of 288 shares of
- (1) Restricted Stock issued under the Advanced Emissions Solution's Inc. Amended and Restated 2010 Non-Management Compensation and Incentive Plan (the "2010 Plan").
 - (2) Of the amount shown, 9,532 shares are held in the qualified pension plan account of the reporting person's spouse in accordance with 2010 Plan.
 - (3) Represents shares previously reported as beneficially owned that were not fully vested and forfeited in accordance with the 2010 Plan.
 - (4) Of the amount shown, 1,746 shares are held in the qualified pension plan account of the reporting person and 7,446 shares were issued pursuant to programs under the Advanced Emissions Solution's Inc. Amended and Restated 2007 Equity Incentive Plan, as amended.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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

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.