

TACKETT SHANE R
Form 3
August 31, 2017

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

Â TACKETT SHANE R

(Last) (First) (Middle)

C/O ALASKA AIRLINES,
INC.,Â 19300
INTERNATIONAL BLVD

(Street)

SEATTLE,Â WAAÂ 98188

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

08/22/2017

3. Issuer Name **and** Ticker or Trading Symbol
ALASKA AIR GROUP, INC. [ALK]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

____ Director ____ 10% Owner
__X__ Officer ____ Other
(give title below) (specify below)
SR VP REV/E-COMMERCE

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 Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities Beneficially Owned
(Instr. 4)

3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership
(Instr. 5)

COMMON STOCK ⁽¹⁾

3,380

D

Â

COMMON STOCK 401(K) ⁽²⁾

2,807

I

ESOP TRUST

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and Expiration Date
(Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security

4. Conversion or Exercise

5. Ownership Form of

6. Nature of Indirect Beneficial Ownership

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| | Date Exercisable | Expiration Date | (Instr. 4) Title | Amount or Number of Shares | Price of Derivative Security | Derivative Security: Direct (D) or Indirect (I) (Instr. 5) | (Instr. 5) |
|-----------------------------------|---------------------------|-----------------|---------------------|----------------------------|------------------------------|---|------------|
| EMPLOYEE STOCK OPTION (RT TO BUY) | 02/11/2018 | 02/11/2024 | COMMON STOCK | 770 | \$ 38.755 | D | Â |
| EMPLOYEE STOCK OPTION (RT TO BUY) | 02/10/2018 ⁽³⁾ | 02/10/2025 | COMMON STOCK | 925 | \$ 65.37 | D | Â |
| EMPLOYEE STOCK OPTION (RT TO BUY) | 02/09/2017 ⁽⁴⁾ | 02/09/2026 | COMMON STOCK | 1,750 | \$ 65.63 | D | Â |
| RESTRICTED STOCK UNITS | 02/10/2018 | 02/10/2025 | COMMON STOCK | 2,090 | \$ 0 | D | Â |
| RESTRICTED STOCK UNITS | 02/09/2019 | 02/09/2026 | COMMON STOCK | 730 | \$ 0 | D | Â |
| RESTRICTED STOCK UNITS | 02/14/2020 | 02/14/2027 | COMMON STOCK | 810 | \$ 0 | D | Â |
| RESTRICTED STOCK UNITS | 03/07/2018 ⁽⁵⁾ | 03/07/2027 | COMMON STOCK | 1,670 | \$ 0 | D | Â |
| RESTRICTED STOCK UNITS | 08/03/2020 | 08/03/2027 | COMMON STOCK | 330 | \$ 0 | D | Â |
| EMPLOYEE STOCK OPTION (RT TO BUY) | 02/14/2018 ⁽⁶⁾ | 02/14/2027 | COMMON STOCK | 1,860 | \$ 96.3 | D | Â |
| EMPLOYEE STOCK OPTION (RT TO BUY) | 08/03/2018 ⁽⁷⁾ | 08/03/2027 | COMMON STOCK | 780 | \$ 84.99 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| TACKETT SHANE R C/O ALASKA AIRLINES, INC. 19300 INTERNATIONAL BLVD SEATTLE, WA 98188 | Â | Â | Â SR VP REV/E-COMMERCE | Â |

Signatures

JEANNE E GAMMON, ATTORNEY IN FACT FOR SHANE R. TACKETT

08/31/2017

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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).

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- (1) TOTAL HELD IN COLUMN 5 INCLUDES SHARES ACQUIRED UNDER THE ISSUER'S EMPLOYEE STOCK PURCHASE PLAN.
- (2) COMMON SHARES HELD IN THE ALASKA AIR GROUP, INC. EMPLOYEE STOCK OWNERSHIP 401(K) PLAN TRUST AS OF 08/31/2017.
- (3) OPTIONS WILL VEST AS FOLLOWS: 462 ON 02/10/2018 AND 463 ON 02/10/2019.
- (4) 437 OPTIONS VESTED ON 02/09/2017; REMAINING OPTIONS WILL VEST AS FOLLOWS: 438 ON 02/09/2018; 437 ON 02/09/2019 AND 438 ON 02/09/2020.
- (5) STOCK UNITS VEST AS FOLLOWS: 556 ON 03/07/2018; 557 ON 03/07/2019; AND 557 ON 03/07/2020.
- (6) OPTIONS WILL VEST AS FOLLOWS: 465 ON 02/14/2018; 465 ON 02/14/2019; 465 ON 02/14/2020; AND 465 ON 02/14/2021.
- (7) OPTIONS WILL VEST AS FOLLOWS: 195 ON 8/3/2018; 195 ON 8/3/2019; 195 ON 8/3/2020; AND 195 ON 8/3/2021.

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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