

TACKETT SHANE R  
Form 3  
August 31, 2017

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

## 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 <sup>(1)</sup>

3,380

D

Â

COMMON STOCK 401(K) <sup>(2)</sup>

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)

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

### 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

# Edgar Filing: TACKETT SHANE R - Form 3

	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 <sup>(3)</sup>	02/10/2025	COMMON STOCK	925	\$ 65.37	D	Â
EMPLOYEE STOCK OPTION (RT TO BUY)	02/09/2017 <sup>(4)</sup>	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 <sup>(5)</sup>	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 <sup>(6)</sup>	02/14/2027	COMMON STOCK	1,860	\$ 96.3	D	Â
EMPLOYEE STOCK OPTION (RT TO BUY)	08/03/2018 <sup>(7)</sup>	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).

### Edgar Filing: TACKETT SHANE R - Form 3

- (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.  
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.