

ALLERGAN INC  
Form 4  
July 27, 2005

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Jones Trevor M

(Last) (First) (Middle)  
2525 DUPONT DRIVE  
(Street)  
IRVINE, CA 92612  
(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
ALLERGAN INC [(AGN)]

3. Date of Earliest Transaction  
(Month/Day/Year)  
07/25/2005

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 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 Indirect Beneficial Ownership (Instr. 4)
				(A) or (D)	Code V Amount (D) Price		

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 required to respond unless the form displays a currently valid OMB control number.**

SEC 1474  
(9-02)

**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	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	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Underlying Securities (Instr. 3 and 4)
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Derivative Security			Code	V	(A) or Disposed of (D) (Instr. 3, 4, and 5)		Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
					(A)	(D)					
Phantom Stock Units	(1)	07/25/2005	A		11.79 (2)		(3)	(3)	Common Stock	0	\$ 8
Phantom Stock Units	(1)	07/25/2005	A		11.79 (2)		(3)	(3)	Common Stock	0	\$ 8
Phantom Stock Units	(1)	07/26/2005	A		23.41 (2)		(3)	(3)	Common Stock	0	\$ 85

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Jones Trevor M 2525 DUPONT DRIVE IRVINE, CA 92612	X			

## Signatures

By: Matthew J. Maletta,  
Attorney-in-Fact

07/27/2005

Signature of Reporting Person

Date

## 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).

(1) Converts to common stock on a 1-for-1 basis.

(2) Phantom stock units acquired under the Allergan, Inc. Deferred Directors' Fee Program in lieu of cash for meeting fees.

(3) Phantom stock units are to be settled 100% in stock upon the reporting person's retirement as an Allergan, Inc. director.

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. STYLE="text-indent: 0pt; display: block; margin-left: 0pt; margin-right: 0pt; text-align: left">0

8

SHARED DISPOSITIVE POWER

786,247

9

AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

786,247

10

CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (See Instructions)

0

11

PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)

6.73%

12

TYPE OF REPORTING PERSON (See Instructions)

HC

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CUSIP No. 410123103

**SCHEDULE 13G/A**

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NAME OF REPORTING PERSONS

1

GPFT Holdco, LLC

CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (See Instructions)

2

(a)  (b)

SEC USE ONLY

3

CITIZENSHIP OR PLACE OF ORGANIZATION

4

Delaware

SOLE VOTING POWER

5

0

NUMBER OF  
SHARES  
BENEFICIALLY  
OWNED BY  
EACH  
REPORTING  
PERSON

SHARED VOTING POWER

6

786,247

SOLE DISPOSITIVE POWER

7

0

WITH

SHARED DISPOSITIVE POWER

8

786,247

9

AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

786,247

10

CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (See Instructions)

o

11

PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)

6.73%

12

TYPE OF REPORTING PERSON (See Instructions)

Explanation of Responses:

HC



CUSIP No. 410123103

**SCHEDULE 13G/A**

Page 6 of 15 Pages

NAME OF REPORTING PERSONS

1  
Guggenheim Funds Services Holdings, LLC

CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (See  
2 Instructions)  
(a)  (b)

3 SEC USE ONLY

CITIZENSHIP OR PLACE OF ORGANIZATION

4  
Delaware

SOLE VOTING POWER

5

0

NUMBER OF  
SHARES  
BENEFICIALLY  
OWNED BY  
EACH  
REPORTING  
PERSON

6

SHARED VOTING POWER

786,247

SOLE DISPOSITIVE POWER

7

0

WITH

SHARED DISPOSITIVE POWER

8

786,247

9  
AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

786,247

10  
CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (See Instructions)

11  
PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)

6.73%

12  
TYPE OF REPORTING PERSON (See Instructions)

Explanation of Responses:

HC



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**SCHEDULE 13G/A**

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NAME OF REPORTING PERSONS

1

Guggenheim Funds Services, LLC

CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (See Instructions)

2

(a)  (b)

SEC USE ONLY

3

CITIZENSHIP OR PLACE OF ORGANIZATION

4

Delaware

SOLE VOTING POWER

5

0

NUMBER OF  
SHARES  
BENEFICIALLY  
OWNED BY  
EACH  
REPORTING  
PERSON

SHARED VOTING POWER

6

786,247

SOLE DISPOSITIVE POWER

7

0

WITH

SHARED DISPOSITIVE POWER

8

786,247

9

AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

786,247

10

CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (See Instructions)

o

11

PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)

6.73%

12

TYPE OF REPORTING PERSON (See Instructions)

Explanation of Responses:



HC



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NAME OF REPORTING PERSONS

1

Guggenheim Funds Distributors, LLC

CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (See Instructions)

2

(a)  (b)

SEC USE ONLY

3

CITIZENSHIP OR PLACE OF ORGANIZATION

4

Delaware

SOLE VOTING POWER

5

0

NUMBER OF  
SHARES  
BENEFICIALLY  
OWNED BY  
EACH  
REPORTING  
PERSON

SHARED VOTING POWER

6

786,247

SOLE DISPOSITIVE POWER

7

0

WITH

SHARED DISPOSITIVE POWER

8

786,247

9

AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

786,247

10

CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (See Instructions)

o

11

PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)

6.73%

12

TYPE OF REPORTING PERSON (See Instructions)

IA, BD



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NAME OF REPORTING PERSONS

1 Guggenheim Defined Portfolios, Series 754, 766, 771, 788, 789, 793, 800, 813, 826, 827, 840, 846, 851, 856, 862, 874, 876, 886, 887, 910, 911, 912, 920, 921, 942, 944, 953, 979 & 982

2 CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (See Instructions)

(a)  (b)

3 SEC USE ONLY

CITIZENSHIP OR PLACE OF ORGANIZATION

4 Illinois

		SOLE VOTING POWER
	5	0
NUMBER OF SHARES BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH		SHARED VOTING POWER
	6	786,247
		SOLE DISPOSITIVE POWER
	7	0
		SHARED DISPOSITIVE POWER
	8	786,247

9 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

786,247

10 CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (See Instructions)

11 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)

6.73%

12 TYPE OF REPORTING PERSON (See Instructions)

Explanation of Responses:

IV



CUSIP No. 410123103

**SCHEDULE 13G/A**

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**Item 1. (a) Name of Issuer:**

John Hancock Income Securities Trust

**(b) Address of Issuer's Principal Executive Offices:**

601 Congress Street, Boston, MA 02210

**Item 2.**

**(a) Name of Person Filing:**

This Statement is filed by Guggenheim Capital, LLC, Guggenheim Partners, LLC, GP Holdco, LLC, GPFT Holdco, LLC, Guggenheim Funds Services Holdings, LLC, Guggenheim Funds Services, LLC and Guggenheim Funds Distributors, LLC ("GFD"). GFD is filing as Sponsor for Guggenheim Defined Portfolios, Series 754, 766, 771, 788, 789, 793, 800, 813, 826, 827, 840, 846, 851, 856, 862, 874, 876, 886, 887, 910, 911, 912, 920, 921, 942, 944, 953, 979 & 982, (together "The Filing Entities"). This Statement relates to the shares of Common Stock (the "Shares"), of the Issuer beneficially owned directly by The Filing Entities. Guggenheim Capital, LLC is the majority owner of Guggenheim Partners, LLC, GP Holdco, LLC, GPFT Holdco, LLC, Guggenheim Funds Services Holdings, LLC, Guggenheim Funds Services, LLC and GFD. GFD is the Sponsor of The Filing Entities which beneficially own more than 5% of the Shares reported herein. GFD is a registered investment adviser under Section 203 of the Investment Advisers Act of 1940 and a broker dealer registered under Section 15 of the Securities and Exchange Act of 1934.

**(b) Address of Principal Business Office, or, if none, Residence:**

Guggenheim Capital, LLC: 227 West Monroe Street, Chicago, IL 60606

Guggenheim Partners, LLC: 227 West Monroe Street, Chicago, IL 60606

GP Holdco, LLC: 227 West Monroe Street, Chicago, IL 60606

GPFT Holdco, LLC: 227 West Monroe Street, Chicago, IL 60606

Guggenheim Funds Services Holdings, LLC: 2455 Corporate West Dr., Lisle, IL 60532

Guggenheim Funds Services, LLC: 2455 Corporate West Dr., Lisle, IL 60532

Guggenheim Funds Distributors, LLC: 2455 Corporate West Dr., Lisle, IL 60532

**(c) Citizenship:**

Guggenheim Capital, LLC is a Delaware limited liability company.

Guggenheim Partners, LLC is a Delaware limited liability company.

GP Holdco, LLC is a Delaware limited liability company.

Explanation of Responses:

GPFT Holdco, LLC is a Delaware limited liability company.

Guggenheim Funds Services Holdings, LLC is a Delaware limited liability company.

Guggenheim Funds Services, LLC is a Delaware limited liability company.

Guggenheim Funds Distributors, LLC is a Delaware limited liability company.

**(d) Title of Class of Securities:**

Common Stock

**(e) CUSIP Number:**

410123103



**Item 3. If this statement is filed pursuant to §§240.13d-1(b) or 240.13d-2(b) or (c), check whether the person filing is a:**

- (a)  Broker or dealer registered under section 15 of the Act (15 U.S.C. 78o).
  - (b)  Bank as defined in section 3(a)(6) of the Act (15 U.S.C. 78c).
  - (c)  Insurance company as defined in section 3(a)(19) of the Act (15 U.S.C. 78c).
  - (d)  Investment company registered under section 8 of the Investment Company Act of 1940 (15 U.S.C. 80a-8).
  - (e)  An investment adviser in accordance with §240.13d-1(b)(1)(ii)(E).
  - (f)  An employee benefit plan or endowment fund in accordance with §240.13d-1(b)(1)(ii)(F).
  - (g)  A parent holding company or control person in accordance with §240.13d-1(b)(1)(ii)(G).
  - (h)  A savings associations as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813).
  - (i)  A church plan that is excluded from the definition of an investment company under section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3).
  - (j)  A non-U.S. institution in accordance with §240.13d-1(b)(1)(ii)(J).
- 
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**SCHEDULE 13G/A**

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**Item 4. Ownership**

Provide the following information regarding the aggregate number and percentage of the class of securities of the issuer identified in Item 1.

**(a) Amount beneficially owned:**

As of December 31, 2012, Guggenheim Capital, LLC may be deemed the beneficial owner of 786,247 Shares, which amount includes 786,247 Shares beneficially owned directly by The Filing Entities, and indirectly by Guggenheim Funds Distributors, LLC, Guggenheim Funds Services, LLC, Guggenheim Funds Services Holdings, LLC, GPFT Holdco, LLC, GP Holdco, LLC and Guggenheim Partners, LLC.

**(b) Percent of class:**

6.73% of the Common Stock

**(c) Number of shares as to which the person has:**

**Guggenheim Capital, LLC**

(i) Sole power to vote or to direct the vote: 0

(ii) Shared power to vote or to direct the vote: See Item 4(a) above. 786,247

(iii) Sole power to dispose or to direct the disposition of: 0

(iv) Shared power to dispose or to direct the disposition of: See Item 4(a) above. 786,247

**Guggenheim Partners, LLC**

(i) Sole power to vote or to direct the vote: 0

Explanation of Responses:

(ii) Shared power to vote or to direct the vote: See Item 4(a) above. 786,247

(iii) Sole power to dispose or to direct the disposition of: 0

(iv) Shared power to dispose or to direct the disposition of: See Item 4(a) above. 786,247

**GP Holdco, LLC**

(i) Sole power to vote or to direct the vote: 0

(ii) Shared power to vote or to direct the vote: See Item 4(a) above. 786,247

(iii) Sole power to dispose or to direct the disposition of: 0

(iv) Shared power to dispose or to direct the disposition of: See Item 4(a) above. 786,247

**GPFT Holdco, LLC**

(i) Sole power to vote or to direct the vote: 0

(ii) Shared power to vote or to direct the vote: See Item 4(a) above. 786,247

(iii) Sole power to dispose or to direct the disposition of: 0

(iv) Shared power to dispose or to direct the disposition of: See Item 4(a) above. 786,247

**Guggenheim Funds Services Holdings, LLC**

(i) Sole power to vote or to direct the vote: 0

(ii) Shared power to vote or to direct the vote: See Item 4(a) above. 786,247

(iii) Sole power to dispose or to direct the disposition of: 0

(iv) Shared power to dispose or to direct the disposition of: See Item 4(a) above. 786,247

**Guggenheim Funds Services, LLC**

(i) Sole power to vote or to direct the vote: 0

(ii) Shared power to vote or to direct the vote: See Item 4(a) above. 786,247

(iii) Sole power to dispose or to direct the disposition of: 0

Explanation of Responses:

(iv) Shared power to dispose or to direct the disposition of: See Item 4(a) above. 786,247

**Guggenheim Funds Distributors, LLC**

(i) Sole power to vote or to direct the vote: 0

(ii) Shared power to vote or to direct the vote: See Item 4(a) above. 786,247

(iii) Sole power to dispose or to direct the disposition of: 0

(iv) Shared power to dispose or to direct the disposition of: See Item 4(a) above. 786,247



CUSIP No. 410123103

**SCHEDULE 13G/A**

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**Item 5. Ownership of Five Percent or Less of a Class**

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than 5 percent of the class of securities, check the following o.

**Item 6. Ownership of More Than Five Percent on Behalf of Another Person**

Certain advisory clients of Guggenheim Funds Distributors, LLC have the right to receive or the power to direct the receipt of dividends from or the profits from the sale of the Shares reported herein.

**Item 7. Identification and Classification of the Subsidiary which Acquired the Security Being Reported on by the Parent Holding Company or Control Person**

See disclosure in Item 2 hereof.

**Item 8. Identification and Classification of Members of the Group**

Not Applicable

**Item 9. Notice of Dissolution of Group**

Not Applicable

**Item 10. Certification**

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were acquired and are held in the ordinary course of business and were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect.

Explanation of Responses:



CUSIP No. 410123103

**SCHEDULE 13G/A**

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**SIGNATURE**

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Dated: February 14, 2013

Guggenheim Capital, LLC

By: Robert Saperstein

By: /s/ Robert Saperstein

Name: Robert Saperstein

Title: Managing Director, Senior Regulatory Counsel

Guggenheim Partners, LLC

By: Guggenheim Capital, LLC, parent company

By: /s/ Robert Saperstein

Name: Robert Saperstein

Title: Managing Director, Senior Regulatory Counsel

GP Holdco, LLC

By: Guggenheim Capital, LLC, parent company

By: /s/ Robert Saperstein

Name: Robert Saperstein

Title: Managing Director, Senior Regulatory Counsel

GPFT Holdco, LLC

By: Guggenheim Capital, LLC, parent company

By: /s/ Robert Saperstein

Explanation of Responses:

Name: Robert Saperstein  
Title: Managing Director, Senior Regulatory Counsel

Guggenheim Funds Services Holdings, LLC  
By: Guggenheim Capital, LLC, parent company

By: /s/ Robert Saperstein  
Name: Robert Saperstein  
Title: Managing Director, Senior Regulatory Counsel

Guggenheim Funds Services, LLC  
By: Guggenheim Capital, LLC, parent company

By: /s/ Robert Saperstein  
Name: Robert Saperstein  
Title: Managing Director, Senior Regulatory Counsel

Guggenheim Funds Distributors, LLC  
By: Guggenheim Capital, LLC, parent company

By: /s/ Robert Saperstein  
Name: Robert Saperstein  
Title: Managing Director, Senior Regulatory Counsel



CUSIP No. 410123103

**SCHEDULE 13G/A**

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**JOINT FILING AGREEMENT**

The undersigned hereby agree that the statement on Schedule 13G with respect to the Common Stock of John Hancock Income Securities Trust, dated as of February 14, 2013 is, and any amendments thereto (including amendments on Schedule 13D) signed by each of the undersigned shall be, filed on behalf of each of us pursuant to and in accordance with the provisions of Rule 13d-1(k) under the Securities Exchange Act of 1934, as amended.

Dated: February 14, 2013

Guggenheim Capital, LLC  
By: Robert Saperstein

By: /s/ Robert Saperstein  
Name: Robert Saperstein  
Title: Managing Director, Senior Regulatory Counsel

Guggenheim Partners, LLC  
By: Guggenheim Capital, LLC, parent company

By: /s/ Robert Saperstein  
Name: Robert Saperstein  
Title: Managing Director, Senior Regulatory Counsel

GP Holdco, LLC  
By: Guggenheim Capital, LLC, parent company

By: /s/ Robert Saperstein  
Name: Robert Saperstein  
Title: Managing Director, Senior Regulatory Counsel

GPFT Holdco, LLC  
By: Guggenheim Capital, LLC, parent company

Explanation of Responses:



By: /s/ Robert Saperstein  
Name: Robert Saperstein  
Title: Managing Director, Senior Regulatory Counsel

Guggenheim Funds Services Holdings, LLC  
By: Guggenheim Capital, LLC, parent company

By: /s/ Robert Saperstein  
Name: Robert Saperstein  
Title: Managing Director, Senior Regulatory Counsel

Guggenheim Funds Services, LLC  
By: Guggenheim Capital, LLC, parent company

By: /s/ Robert Saperstein  
Name: Robert Saperstein  
Title: Managing Director, Senior Regulatory Counsel

Guggenheim Funds Distributors, LLC  
By: Guggenheim Capital, LLC, parent company

By: /s/ Robert Saperstein  
Name: Robert Saperstein  
Title: Managing Director, Senior Regulatory Counsel