

PEABODY ENERGY CORP

Form 3

April 11, 2014

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated 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 *

Galli Bryan A

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

04/01/2014

3. Issuer Name **and** Ticker or Trading Symbol
PEABODY ENERGY CORP [BTU]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

701 MARKET STREET

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Group Exec & Chief Mktg Off.

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting Person

ST. LOUIS, MO 63101

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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

71,327 ⁽¹⁾

D

A

Common Stock

47,087

I

By 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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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
(Instr. 4)4. Conversion
or Exercise
Price of
Derivative5. Ownership
Form of
Derivative
Security:6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	01/03/2006 ⁽²⁾	01/03/2015	Common Stock	7,942	\$ 17.8541	D	Â
Stock Option (Right to Buy)	04/19/2006 ⁽³⁾	04/19/2015	Common Stock	1,873	\$ 20.4337	D	Â
Stock Option (Right to Buy)	01/03/2007 ⁽⁴⁾	01/03/2016	Common Stock	10,326	\$ 39.8143	D	Â
Stock Option (Right to Buy)	01/03/2009	01/03/2016	Common Stock	16,381	\$ 39.8143	D	Â
Stock Option (Right to Buy)	01/02/2009 ⁽⁵⁾	01/02/2018	Common Stock	7,017	\$ 62.72	D	Â
Stock Option (Right to Buy)	01/05/2010 ⁽⁶⁾	01/05/2019	Common Stock	14,431	\$ 26.84	D	Â
Stock Option (Right to Buy)	01/04/2011 ⁽⁷⁾	01/04/2020	Common Stock	7,787	\$ 47.87	D	Â
Stock Option (Right to Buy)	01/03/2012 ⁽⁸⁾	01/03/2021	Common Stock	5,899	\$ 64.52	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Galli Bryan A 701 MARKET STREET ST. LOUIS, MO 63101	Â	Â	Â Group Exec & Chief Mktg Off.	Â

Signatures

Bryan A. Galli By Kenneth L. Wagner
Attorney-in-Fact

04/11/2014

__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).

- (1) Includes 7,803 shares held by the reporting person in the Company's Employee Stock Purchase Plan.
- (2) The options vested in three equal annual installments beginning January 3, 2006.
- (3) The options vested in three equal annual installments beginning on April 19, 2006.
- (4) The options vested in three equal annual installments beginning January 3, 2007.
- (5) The options vested in three equal annual installments beginning January 2, 2009.
- (6) The options vested in three equal annual installments beginning January 5, 2010.

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(7) The options vested in three equal annual installments beginning January 4, 2011.

(8) The options vested in three equal annual installments beginning January 3, 2012.

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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