

CONSOL Energy Inc
Form 4
December 04, 2014

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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
HARVEY J BRETT

(Last) (First) (Middle)

1000 CONSOL ENERGY DRIVE

(Street)

CANONSBURG, PA 15317

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

CONSOL Energy Inc [CNX]

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

12/02/2014

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)

Executive Chairman

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 Indirect Beneficial Ownership (Instr. 4)
Common shares, \$0.01 par value per share	12/02/2014		A	174 ⁽¹⁾	A \$ 0 654,399 ⁽²⁾	D	
Common shares, \$0.01 par value per share					2,000	I	By Spouse's Revocable Trust ⁽³⁾
Common shares,					151,600	I	By Revocable

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\$0.01 par value per share			Trust ⁽⁴⁾
Common shares, \$0.01 par value per share	21,608	I	By 2011 GRAT
Common shares, \$0.01 par value per share	35,089	I	By 2012-3 GRAT
Common shares, \$0.01 par value per share	22,256	I	By 2013-1 GRAT
Common shares, \$0.01 par value per share	20,208	I	By 2014-1 GRAT
Common shares, \$0.01 par value per share	10,379	I	By Trust for Daughter ⁽⁵⁾
Common shares, \$0.01 par value per share	10,380	I	By Trust for Daughter ⁽⁵⁾
Common shares, \$0.01 par value per share	10,380	I	By Trust for Son ⁽⁵⁾
Common shares, \$0.01 par value per share	50,465	I	By 401 (k) Plan ⁽⁶⁾

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)

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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 Owned Following Transaction (Instr. 6)
				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
HARVEY J BRETT 1000 CONSOL ENERGY DRIVE CANONSBURG, PA 15317	X		Executive Chairman	

Signatures

/s/ J. Brett Harvey by Stephanie L. Gill, his attorney-in-fact

12/04/2014

__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) Represents dividend equivalent rights earned under the Equity Incentive Plan as part of a grant of restricted stock units.
- (2) Of the 654,399 shares owned directly, 104,137 are restricted stock units and deferred shares (including dividend equivalent rights).
- (3) Shares held in Mrs. Harvey's Amended and Revocable Trust, dated December 17, 2017, in which Mr. and Mrs. Harvey serve as Trustees.
- (4) Shares held in Mr. Harvey's Amended and Revocable Trust, dated December 17, 2017, in which Mr. and Mrs. Harvey serve as Trustees.
- (5) The reporting person disclaims beneficial ownership of these securities, and this report shall not be deemed an admission that the reporting person is the beneficial owner of the securities for the purposes of Section 16 or for any other purpose.
- (6) This number includes 269 shares acquired by the reporting person's 401 (k) account since September 4, 2014.

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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