

CONSOL Energy Inc
Form 5
December 27, 2013

FORM 5

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).
Form 3 Holdings
Reported
Form 4
Transactions
Reported

**ANNUAL 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

OMB
Number: 3235-0362
Expires: January 31,
2005
Estimated average
burden hours per
response... 1.0

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

(Last) (First) (Middle)

1000 CONSOL ENERGY DRIVE

(Street)

2. Issuer Name **and** Ticker or Trading
Symbol
CONSOL Energy Inc [CNX]

3. Statement for Issuer's Fiscal Year Ended
(Month/Day/Year)
12/16/2013

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)

Chairman and CEO

6. Individual or Joint/Group Reporting

(check applicable line)

CANONSBURG, PA 15317

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

(City) (State) (Zip)

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 at end of Issuer's Fiscal Year (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	12/16/2013	Â	G	5,405 D \$ 0	385,797 ⁽¹⁾ D	Â	
Common shares, \$0.01 par value per share	Â	Â	Â	Â Â Â Â	106,552 I		By Revocable Trust ⁽²⁾

Edgar Filing: CONSOL Energy Inc - Form 5

Common shares, \$0.01 par value per share	Â	Â	Â	Â	Â	Â	2,000	I	By Spouse's Revocable Trust ⁽³⁾
Common shares, \$0.01 par value per share	Â	Â	Â	Â	Â	Â	9,481	I	By Trust for Daughter ⁽⁴⁾
Common shares, \$0.01 par value per share	Â	Â	Â	Â	Â	Â	9,481	I	By Trust for Daughter ⁽⁴⁾
Common shares, \$0.01 par value per share	Â	Â	Â	Â	Â	Â	9,481	I	By Trust for Son ⁽⁴⁾
Common shares, \$0.01 par value per share	Â	Â	Â	Â	Â	Â	21,608	I	By 2011 GRAT
Common shares, \$0.01 par value per share	Â	Â	Â	Â	Â	Â	20,208	I	By 2012-1 GRAT
Common shares, \$0.01 par value per share	Â	Â	Â	Â	Â	Â	35,760	I	By 2012-2 GRAT
Common shares, \$0.01 par value per share	Â	Â	Â	Â	Â	Â	35,089	I	By 2012-3 GRAT
Common shares, \$0.01 par value per share	Â	Â	Â	Â	Â	Â	34,240	I	By 2013-1 GRAT
	Â	Â	Â	Â	Â	Â	48,714	I	

Common
shares,
\$0.01 par
value per
share

By 401 (k)
Plan

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 2270
(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 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. of D Se B O E Is Fi (I
					(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		Chairman and CEO	

Signatures

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

12/27/2013

__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) Of the 385,797 shares owned directly, 23,174 are deferred shares (including dividend equivalent rights).

(2) Shares held in Mr. Harvey's Amended and Restated Revocable Trust, dated December 17, 2007, in which Mr. and Mrs. Harvey serve as Trustees.

(3)

Edgar Filing: CONSOL Energy Inc - Form 5

Shares held in Mrs. Harvey's Amended and Restated Revocable Trust, dated December 17, 2007, in which Mr. and Mrs. Harvey serve as Trustees.

- (4) 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.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.