#### Edgar Filing: CONSOL Energy Inc - Form 3

CONSOL Energy Inc Form 3 September 25, 2014

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

**SECURITIES** 

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement CONSOL Energy Inc [CNX] Brock James A (Month/Day/Year) 09/24/2014 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 1000 CONSOL ENERGY (Check all applicable) **DRIVE** (Street) 6. Individual or Joint/Group 10% Owner Director \_X\_\_ Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting Chief Operating Officer - Coal Person CANONSBURG, Â PAÂ 15317 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Â D Common shares, \$0.01 par value per share 24,270 (1) Common shares, \$0.01 par value per share 18,703 I By 401 (k) Plan Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security 2. Date Exercisable and 3. Title and Amount of 5. 6. Nature of Indirect (Instr. 4) **Expiration Date** Securities Underlying Conversion Ownership Beneficial Ownership (Month/Day/Year) **Derivative Security** or Exercise Form of (Instr. 5) (Instr. 4) Price of Derivative

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (right to buy)	(2)	05/03/2015	Common stock, \$0.01 par value per share	200	\$ 22.75	D	Â
Stock Option (right to buy)	(2)	05/03/2015	Common stock, \$0.01 par value per share	904	\$ 22.75	D	Â
Stock Option (right to buy)	(2)	05/02/2016	Common stock, \$0.01 par value per share	3,226	\$ 44.1	D	Â
Stock Option (right to buy)	(2)	02/20/2017	Common stock, \$0.01 par value per share	6,432	\$ 34.85	D	Â
Stock Option (right to buy)	(2)	02/19/2018	Common stock, \$0.01 par value per share	3,111	\$ 78.65	D	Â
Stock Option (right to buy)	(2)	02/17/2019	Common stock, \$0.01 par value per share	6,347	\$ 27.9	D	Â
Stock Option (right to buy)	(2)	02/16/2020	Common stock, \$0.01 par value per share	4,115	\$ 50.5	D	Â
Stock Option (right to buy)	(2)	02/23/2021	Common stock, \$0.01 par value per share	6,329	\$ 48.61	D	Â
Stock Option (right to buy)	(3)	03/01/2022	Common stock,	12,420	\$ 35.82	D	Â

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\$0.01 par value per share

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
•	Director	10% Owner	Officer	Other		
Brock James A 1000 CONSOL ENERGY DRIVE CANONSBURG Â PAÂ 15317	Â	Â	Chief Operating Officer - Coal	Â		

### **Signatures**

/s/ James A. Brock by Stephanie L. Gill, his attorney-in-fact

09/25/2014

\*\*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) Of the 24,270 shares owned directly, 11,079 are restricted stock units (including dividend equivalent rights).
- (2) These options are currently exercisable in full.
- (3) Stock option provides that options will vest one third per year beginning on February 26, 2013.

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.

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