

HALLADOR ENERGY CO
Form 4
December 09, 2013

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 *
HARDIE DAVID C

2. Issuer Name and Ticker or Trading Symbol
HALLADOR ENERGY CO
[HNRG]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
940 SOUTHWOOD BLVD., SUITE 201
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
12/05/2013

Director 10% Owner
 Officer (give title below) Other (specify below)
Chairman of the Board

INCLINE VILLAGE, NV 89451

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 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 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) | | | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|---------|---|---------------------------------|
| | | | Code | V | Amount | (A) or (D) | Price | | | |
| Common Stock | 12/05/2013 | | S | | 3,906 | <u>D</u> (4) | \$ 8.13 | 811,877 | I | By Robert Hardie QTIP Trust (1) |
| Common Stock | 12/06/2013 | | S | | 26,492 | <u>D</u> (4) | \$ 8.0984 | 785,385 | I | By Robert Hardie QTIP Trust (1) |
| Common Stock | 12/09/2013 | | S | | 19,598 | <u>D</u> (4) | \$ 8.0421 | 765,787 | I | By Robert Hardie QTIP Trust |

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| | | | | | | | | (1) | |
|--------------|------------|--|---|--------|-----------------|-----------|-----------|-----|--|
| Common Stock | 12/05/2013 | | S | 2,139 | <u>D</u> (4) | \$ 8.13 | 270,509 | I | By Hallador Special Holdings LLC ⁽²⁾ |
| Common Stock | 12/06/2013 | | S | 14,510 | <u>D</u> (4) | \$ 8.0984 | 255,999 | I | By Hallador Special Holdings LLC ⁽²⁾ |
| Common Stock | 12/09/2013 | | S | 10,734 | <u>D</u> (4) | \$ 8.0421 | 245,265 | I | By Hallador Special Holdings LLC ⁽²⁾ |
| Common Stock | 12/05/2013 | | S | 857 | <u>D</u> (4) | \$ 8.13 | 3,117,701 | I | By Hallador Alternative Assets Fund LLC ⁽³⁾ |
| Common Stock | 12/06/2013 | | S | 5,804 | <u>D</u> (4) | \$ 8.0984 | 3,111,897 | I | By Hallador Alternative Assets Fund LLC ⁽³⁾ |
| Common Stock | 12/09/2013 | | S | 4,295 | <u>D</u> (4) | \$ 8.0421 | 3,107,602 | I | By Hallador Alternative Assets Fund LLC ⁽³⁾ |

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.

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(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. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 6) | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|-------|------------------|
| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-----------------------|-------|
| | Director | 10% Owner | Officer | Other |
| HARDIE DAVID C 940 SOUTHWOOD BLVD., SUITE 201 INCLINE VILLAGE, NV 89451 | X | X | Chairman of the Board | |

Signatures

/s/ David C.
Hardie

12/09/2013

**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) The Reporting Person is a 25% beneficiary of the Robert Hardie QTIP Trust, the holder of the securities and disclaims beneficial ownership of the securities except to the extent of his pecuniary interest therein.
 - (2) Hallador Special Holdings, LLC is a wholly owned subsidiary of Hallador, Inc.
Hallador Alternative Assets Fund LLC, a limited liability company organized under the laws of the State of Delaware ("HAAF"). HAAF
 - (3) is a private equity investment fund directed or controlled by its managing members, Hallador Management LLC, David C. Hardie and Steven Hardie.
 - (4) Sold pursuant to Rule 10b5-1.

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.