

PICCONE JAMES M  
Form 4  
January 03, 2018

**FORM 4**

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
PICCONE JAMES M

2. Issuer Name and Ticker or Trading Symbol  
Resolute Energy Corp [REN]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
1700 LINCOLN ST., SUITE 2800

3. Date of Earliest Transaction (Month/Day/Year)  
12/29/2017

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
President

(Street)

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

DENVER, CO 80203

(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 or Price		
Common Stock	12/29/2017		M		27,438 A \$ 6.75	268,615 (4)	D (5)
Common Stock	12/29/2017		M		2,791 A \$ 2.915	271,406 (4)	D (5)
Common Stock	12/29/2017		F		6,145 (2) D \$ 31.47	265,261 (4)	D (5)
Common Stock	01/01/2018		F		7,158 (3) D \$ 31.47	258,103 (4)	D (5)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 6.75	12/29/2017		M	27,438	<u>(1)</u> 05/04/2025	Common Stock 27,438
Employee Stock Option (right to buy)	\$ 2.915	12/29/2017		M	2,791	03/08/2017 02/17/2026	Common Stock 2,791

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
PICCONE JAMES M 1700 LINCOLN ST. SUITE 2800 DENVER, CO 80203	X		President	

## Signatures

/s/ James M. Piccone 01/03/2018

\*\*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 options vested in two equal installments on May 5, 2016 and 2017.

(2) Represents shares surrendered to Issuer to cover tax withholding obligations of the Reporting Person upon the exercise of 30,229 incentive stock options issued pursuant to Issuer's 2009 Performance Incentive Plan.

Represents shares surrendered to Issuer to cover tax withholding obligations of the Reporting Person upon the vesting of 21,768 shares of

(3) time-vesting restricted stock issued pursuant to the Issuer's 2009 Performance Incentive Plan. The vesting of the shares was accelerated pursuant to that certain Separation Agreement and Release dated January 1, 2018 between Issuer and the Reporting Person.

(4) Includes 21,767 shares of restricted stock subject to performance-vesting criteria, which vest in annual installments in accordance with such criteria through March 8, 2020.

(5) Includes 46,655 shares held by the Reporting Person in an IRA account.

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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