

PEABODY ENERGY CORP

Form 3

April 11, 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

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 *

Galli Bryan A

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

04/01/2014

3. Issuer Name and Ticker or Trading Symbol
PEABODY ENERGY CORP [BTU]

4. Relationship of Reporting Person(s) to Issuer

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

701 MARKET STREET

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Group Exec & Chief Mktg Off.

6. Individual or Joint/Group

Filing(Check Applicable Line)

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

ST. LOUIS, MO 63101

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities Beneficially Owned
(Instr. 4)3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock

71,327 ⁽¹⁾

D

A

Common Stock

47,087

I

By Trust

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)1. Title of Derivative Security
(Instr. 4)2. Date Exercisable and Expiration Date
(Month/Day/Year)3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

4. Conversion or Exercise Price of Derivative

5. Ownership Form of Derivative Security:

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Stock Option (Right to Buy)	01/03/2006 ⁽²⁾	01/03/2015	Common Stock	7,942	\$ 17.8541	D	Â
Stock Option (Right to Buy)	04/19/2006 ⁽³⁾	04/19/2015	Common Stock	1,873	\$ 20.4337	D	Â
Stock Option (Right to Buy)	01/03/2007 ⁽⁴⁾	01/03/2016	Common Stock	10,326	\$ 39.8143	D	Â
Stock Option (Right to Buy)	01/03/2009	01/03/2016	Common Stock	16,381	\$ 39.8143	D	Â
Stock Option (Right to Buy)	01/02/2009 ⁽⁵⁾	01/02/2018	Common Stock	7,017	\$ 62.72	D	Â
Stock Option (Right to Buy)	01/05/2010 ⁽⁶⁾	01/05/2019	Common Stock	14,431	\$ 26.84	D	Â
Stock Option (Right to Buy)	01/04/2011 ⁽⁷⁾	01/04/2020	Common Stock	7,787	\$ 47.87	D	Â
Stock Option (Right to Buy)	01/03/2012 ⁽⁸⁾	01/03/2021	Common Stock	5,899	\$ 64.52	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Galli Bryan A 701 MARKET STREET ST. LOUIS, MO 63101	Â	Â	Â Group Exec & Chief Mktg Off.	Â

Signatures

Bryan A. Galli By Kenneth L. Wagner
Attorney-in-Fact

04/11/2014

__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) Includes 7,803 shares held by the reporting person in the Company's Employee Stock Purchase Plan.
- (2) The options vested in three equal annual installments beginning January 3, 2006.
- (3) The options vested in three equal annual installments beginning on April 19, 2006.
- (4) The options vested in three equal annual installments beginning January 3, 2007.
- (5) The options vested in three equal annual installments beginning January 2, 2009.
- (6) The options vested in three equal annual installments beginning January 5, 2010.

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(7) The options vested in three equal annual installments beginning January 4, 2011.

(8) The options vested in three equal annual installments beginning January 3, 2012.

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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