

HALLADOR ENERGY CO

Form 4

December 09, 2013

FORM 4
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).

**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

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(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

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

(Street)
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 OTIP Trust

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Common Stock	12/05/2013	S	2,139	<u>D</u> (4)	\$ 8.13	270,509	I	(1) 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.

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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 Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number

of
Shares

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.

12/09/2013

Hardie

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.

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