

PEABODY ENERGY CORP

Form 4

April 07, 2008

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 *
JAMES WILLIAM E

(Last) (First) (Middle)

**C/O ROCKPORT CAPITAL
PARTNERS, LLC, 160 FEDERAL
STREET, 18TH FLOOR**

(Street)

BOSTON, MA 02110-1776

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

PEABODY ENERGY CORP [BTU]

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

04/03/2008

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

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) |
|---------------------------------------|---|---|---|---|--|--|---|
| Common Stock | 04/03/2008 | | M ⁽¹⁾ | 20,000 | A \$ 3.3001 | 23,296 | D |
| Common Stock | 04/03/2008 | | S ⁽¹⁾ | 9,533 | D \$ 55 | 13,763 | D |
| Common Stock | 04/03/2008 | | S ⁽¹⁾ | 200 | D \$ 55.01 | 13,563 | D |
| Common Stock | 04/03/2008 | | S ⁽¹⁾ | 1,167 | D \$ 55.02 | 12,396 | D |
| Common Stock | 04/03/2008 | | S ⁽¹⁾ | 100 | D \$ 55.03 | 12,296 | D |

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| | | | | | | | | |
|--------------|------------|------------------|-------|---|----------|-------|---|----------|
| Common Stock | 04/03/2008 | S ⁽¹⁾ | 4,578 | D | \$ 55.04 | 7,718 | D | |
| Common Stock | 04/03/2008 | S ⁽¹⁾ | 900 | D | \$ 55.05 | 6,818 | D | |
| Common Stock | 04/03/2008 | S ⁽¹⁾ | 22 | D | \$ 55.06 | 6,796 | D | |
| Common Stock | 04/03/2008 | S ⁽¹⁾ | 2,087 | D | \$ 55.09 | 4,709 | D | |
| Common Stock | 04/03/2008 | S ⁽¹⁾ | 13 | D | \$ 55.1 | 4,696 | D | |
| Common Stock | 04/03/2008 | S ⁽¹⁾ | 1,400 | D | \$ 55.12 | 3,296 | D | |
| Common Stock | | | | | | 7,520 | I | By Trust |

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.

SEC 1474
(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) | \$ 3.3001 | 04/03/2008 | | M ⁽¹⁾ | 20,000 | 11/19/2007 05/19/2008 | Common Stock 20,000 |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

JAMES WILLIAM E
C/O ROCKPORT CAPITAL PARTNERS, LLC X
160 FEDERAL STREET, 18TH FLOOR
BOSTON, MA 02110-1776

Signatures

William E. James By: Kenneth L. Wagner
Attorney-in-Fact

04/07/2008

__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) This exercise/sale was effected pursuant to a pre-existing Rule 10b5-1 trading plan adopted by the reporting person.
- (2) Not applicable.
- (3) Does not include an additional 31,745 options with different expiration dates and exercise prices.

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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