Edgar Filing: HENDERSON FREDERICK A - Form 4

HENDERSON FREDERICK A

Form 4 July 26, 2011

FORM 4

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

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average

OMB APPROVAL

burden hours per

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

response...

Check this box if no longer subject to Section 16. Form 4 or

Form 5 obligations may continue. See Instruction

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

SECURITIES

(Print or Type Responses)

1(b).

1. Name and Address of Reporting Person * HENDERSON FREDERICK A

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

(First) (Last)

(Middle)

(Zip)

SunCoke Energy, Inc. [SXC] 3. Date of Earliest Transaction

(Check all applicable)

1011 WARRENVILLE

(Month/Day/Year) 07/26/2011

Director 10% Owner __X__ Other (specify Officer (give title

below) below) Chairman and Chief Executive O

ROAD, SUITE 600

(Street)

(State)

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

6. Individual or Joint/Group Filing(Check

Applicable Line)

(Month/Day/Year)

X Form filed by One Reporting Person Form filed by More than One Reporting

Person

LISLE, IL 60532

(City)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) any

3. 4. Securities Acquired Transaction(A) or Disposed of Code (D) (Instr. 8) (Instr. 3, 4 and 5)

Amount

5. Amount of 6. Ownership 7. Nature of Securities Form: Direct Indirect Beneficially (D) or Beneficial Indirect (I) Ownership Owned Following (Instr. 4) (Instr. 4)

(A) Price

(D)

Reported Transaction(s)

(Instr. 3 and 4)

Common Stock

07/26/2011

 $P^{(1)}$ 15,000

Code V

A \$ 16 15,000

D

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

Edgar Filing: HENDERSON FREDERICK A - Form 4

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. Transactio Code (Instr. 8)	5. Number of on Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount Number Shares
Common Stock Unit (2)	<u>(3)</u>	07/26/2011		A	112,941	<u>(4)</u>	<u>(4)</u>	Common Stock	112,94
Stock Options (Right to Buy) (5)	\$ 17.39	07/26/2011		A	646,465	07/23/2012	07/23/2021	Common Stock	646,46

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

HENDERSON FREDERICK A 1011 WARRENVILLE ROAD SUITE 600 LISLE, IL 60532

Chairman and Chief Executive O

Signatures

/s/ John J. DiRocco, Jr., attorney-in-fact

07/26/2011

**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) Purchase of common stock in directed share program contingent upon the closing of the initial public offering of SunCoke Energy, Inc.
- Grant of restricted common stock units contingent upon the closing of the registrant's initial public offering. These units were awarded pursuant to the SunCoke Energy, Inc. Long-Term Performance Enhancement Plan, in a transaction exempt under Rule 16b-3. These restricted share units will vest subject to continued employment, in equal one-third installments on the third, fourth, and fifth anniversaries of the reporting person's effective date of hire.
- (3) Conversion rate is 1 for 1.
- (4) Not applicable.
 - Grant of stock options (right to buy SunCoke Energy, Inc. common stock), contingent upon the closing of the registrant's initial public offering. These options were awarded pursuant to the SunCoke Energy, Inc. Long-Term Performance Enhancement Plan, in a transaction
- (5) exempt under Rule 16b-3, and are exercisable, subject to continued employment, as follows: (1) five sevenths of such options will vest in equal one-third installments on the first, second, and third anniversaries of the initial public offering; (2) the remaining two sevenths will vest in equal one-third installments on the third, fourth, and fifth anniversaries of the reporting person's effective date of hire.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Reporting Owners 2

Edgar Filing: HENDERSON FREDERICK A - Form 4

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.									