Edgar Filing: DUFFY JAMES E - Form 4

DUEEN LAMES E

Form 4 March 05, 2019 OMB APPROVAL FORM 4 March 05, 2019 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D. C. 20549 OMB APPROVAL Check this box is no longer subject to Section 16. Form 4 or avgentime. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(b) of the Investment Company Act of 1935 or Section 10(b). OMB APPROVAL Mimber: Section 10(a) of the Securities Exchange Act of 1934, obligations 30(b) of the Investment Company Act of 1935 or Section 10(b). OMB APPROVAL Mimber: Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(b) of the Investment Company Act of 1935 or Section 30(b) of the Investment Company Act of 1935 or Section 30(b) of the Investment Company Act of 1935 or Section 10(b). Section 17(a) of the Public Utility Cimarex Resolute LLC [REN] (Check all applicable) 1. Name and Address of Reporting Person 1 (b). 2. Issuer Name and Ticker or Trading Symbol Cimarex Resolute LLC [REN] (Month/Day/Year) S. Relationship of Reporting Person(s) to Issuer 1. Name and Address of Reporting Person 1 (Below) 4. If Amendment, Date Original FiledMonth/Day/Year) 6. Individual or Joint/Group Filing(Rheek Applicable Line) 	DUFFY JAM	IES E										
FORM 4 UNITED STATES SECURITES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB APPROVAL Mumber: 3235-027 Number: 3235-027 Check this box is abject to Section 16. Form 4 or Porm 4 or Porm 4 or Porm 5 obligations way continue. See Instruction 1/0). STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES OMB APPROVAL Mumber: 3225-027 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations way continue. See Instruction 1/0). Filed pursuant to Section 16(a) of the Securities Exchange Act of 1935, section 17(a) of the Public Utility Holding Company Act of 1935 or Section 1/0). State of Securities Exchange Act of 1934, Or in a securities Exchange Act of 1935, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 1/0). State of Securities Exchange Act of 1934, Cimarex Resolute LLC [REN] State of Securities Exchange Act of 1934, Cimarex Resolute LLC [REN] (Last) (First) (Middle) 3. Date of Earliest Transaction (Momb/Day/Year) State of Earliest Transaction (Momb/Day/Year) Check all applicable) 1700 LINCOLN STREET, SUITE 03/01/2019 Check Officer (give ithe Elow) 01/01/00 (rop Elow) 01/01/00 (rop Elow) 6. Individual or Joint/Group Filing(Check Applicable Line) - Commit Bid by More Reporting Person Person City (State) (Za) Tate I - Non-Derivative Securities Code 5. Amount of Disposed of (D) On on Beneficially Owned Code 6. Ownership Transaction(s) City 6. Ownership Cinatr, 3 and 4) 6. Ownership Or ownericially Ownerici	Form 4											
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$\begin{array}{ccc} & (A) & Transaction(s) \\ & or & (Instr. 3 and 4) \\ \hline & Common & 03/01/2019 & D & 5,335 \\ \hline & D & 5,335 & D & (2) & 0 & D \\ \hline & D & 5,335 & D & (2) & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & 0 & D \\ \hline & D & 0 & D & D \\ \hline & D$									(Instr. 4)	(Instr. 4)		
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Common $03/01/2019$ D $5,335$ D (2) D D												
(13/(11/2)(19) (1) (2) (1) (1)	G			Code V		(D)	Price	(
STOCK (1)		03/01/2019		D		D	<u>(2)</u>	0	D			
	STOCK				(1)							

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.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

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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. onNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Secur	ınt of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Addr	Relationships							
	Director	10% Owner	Officer	Other				
DUFFY JAMES E 1700 LINCOLN STREET SUITE 2800 DENVER, CO 80203	Х							
Signatures								
/s/ James E. Duffy	03/05/2019							
<u>**</u> Signature of	Date							

<u>**</u>Signature of Reporting Person

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) Includes 492 shares of Resolute common stock held by the Reporting Person in a revocable trust that are pledged as collateral for a loan.

Pursuant to the Agreement and Plan of Merger (the "Merger Agreement"), dated as of November 18, 2018, by and among Resolute, Cimarex Energy Co. ("Cimarex") and two direct wholly owned subsidiaries of Cimarex, at the effective time of the merger, each share of

(2) Resolute's common stock, par value \$0.0001 per share, held by the Reporting Person converted into, at such Reporting Person's election, (i) an amount in cash equal to \$14.00, without interest, and 0.2366 shares of common stock of Cimarex, par value \$0.01 per share; (ii) an amount of cash equal to \$35.00, without interest; or (iii) 0.3943 shares of Cimarex common stock, subject to proration as provided in the Merger Agreement.

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