#### Edgar Filing: HALCON RESOURCES CORP - Form 3

#### HALCON RESOURCES CORP

Form 3 June 13, 2016

### 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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement HALCON RESOURCES CORP [HK] À HICKS QUENTIN R (Month/Day/Year) 06/02/2016 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 1000 LOUISIANA ST. SUITE (Check all applicable) 6700 (Street) 6. Individual or Joint/Group 10% Owner Director \_X\_\_ Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting SVP, Finance and Investor Rela Person HOUSTON, TXÂ 77002 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 5) (Instr. 4) Form: Direct (D) or Indirect (I) (Instr. 5) Â Common Stock D 60,671 Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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 Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security	2. Date Exercisable and	3. Title and Amount of	4.	5.	6. Nature of Indirect
(Instr. 4)	Expiration Date	Securities Underlying	Conversion	Ownership	Beneficial Ownership
	(Month/Day/Year)	Derivative Security	or Exercise	Form of	(Instr. 5)
		(Instr. 4)	Price of	Derivative	
		Title	Derivative	Security:	
			Security	Direct (D)	

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Employee Stock Option (right to buy)	(1)	08/01/2022	Common Stock	7,000	\$ 31.3	D	Â
Employee Stock Option (right to buy)	(2)	10/26/2022	Common Stock	4,000	\$ 33.55	D	Â
Employee Stock Option (right to buy)	(3)	02/28/2023	Common Stock	5,980	\$ 35.5	D	Â
Employee Stock Option (right to buy)	(4)	08/01/2023	Common Stock	1,580	\$ 29.25	D	Â
Employee Stock Option (right to buy)	(5)	02/27/2024	Common Stock	19,360	\$ 18.35	D	Â
Employee Stock Option (right to buy)	(6)	12/08/2024	Common Stock	30,520	\$ 7.85	D	Â
Employee Stock Option (right to buy)	(7)	04/24/2025	Common Stock	7,000	\$ 7.85	D	Â
Employee Stock Option (right to buy)	(8)	12/03/2025	Common Stock	60,015	\$ 2.7615	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships				
1	Director 10% Owner		Officer	Other	
HICKS QUENTIN R 1000 LOUISIANA ST. SUITE 6700 HOUSTON, TX 77002	Â	Â	SVP, Finance and Investor Rela	Â	

### **Signatures**

David S. Elkouri, Attorney-in-fact 06/13/2016

\*\*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) The option vests in three equal annual installments beginning August 1, 2013.
- (2) The option vests in three equal annual installments beginning October 26, 2013.
- (3) The option vests in three equal annual installments beginning February 28, 2014.
- (4) The option vests in three equal annual installments beginning August 1, 2014.
- (5) The option vests in three equal annual installments beginning February 27, 2015.
- (6) The option vests in three equal annual installments beginning December 8, 2015.
- (7) The option vests in three equal annual installments beginning April 24, 2016.

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(8) The option vests in three equal annual installments beginning December 3, 2016.

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.