## Edgar Filing: ENERGY EAST CORP - Form 4

Form 4 February 09, 2007 FORM 4 February 09, 2007 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 Filed pursuant to F CHANGES IN BENEFICIAL OWNERSHIP OF Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations action 17(a) of the Public Utility Holding Company Act of 1935 or Section 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person 1 (Last) (First) (Middle) (Last) (First) (Middle) (Street) (St
FORM 4       UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549       OMB APPROVAL         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       OMB SECURITIES       Statuary 31, 2005         Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. See Instruction 1(b).       Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, 30(h) of the Investment Company Act of 1940       Statuary 31, 2005         (Print or Type Responses)       Section 17(a) of the Public Utility Holding Company Act of 1940 1(b).       Statuary 31, 2005         1. Name and Address of Reporting Person* ALLESSIO ROBERT M       2. Issuer Name and Ticker or Trading Symbol ENERGY EAST CORP [EAS] (Last) (First) (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       5. Relationship of Reporting Person(s) to Issuer         THE BERKSHIRE GAS COMPANY, 115 CHESHIRE ROAD       3. Date of Earliest Transaction (Month/Day/Year)
Check this box if no longer subject to Section 16.       STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES       OMB Number:       3235-0287         Form 4 or Form 5 Form 5 South 4 or Form 5 Form 5       STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES       Expires:       2005         Section 16.       SECURITIES       SECURITIES       Expires:       2005         Form 4 or Form 5       Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. Sec linstruction 1(b).       Section 17(a) of the Public Utility Holding Company Act of 1940       1935 or Section         1. Name and Address of Reporting Person*       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         1. Name and Address of Reporting Person*       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       Check all applicable)         (Last)       (First)       02/07/2007       Tierefor * below)
CHILD STATES SECURITIES SECURITIES SECURITIES (MMB) SIGN         Washington, D.C. 20549         Check this box if no longer subject to Section 16.         STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16.         Form 4 or Form 4 or Form 5       Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations section 17(a) of the Public Utility Holding Company Act of 1935 or Section 16(b).       Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940       S. Relationship of Reporting Person(s) to Issuer         1. Name and Address of Reporting Person 1 (b).       2. Issuer Name and Ticker or Trading Symbol ENERGY EAST CORP [EAS]       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       5. Relationship of Reporting Person(s) to Issuer         THE BERKSHIRE GAS       02/07/2007       Director 
Check this box if no longer subject to Sction 16. Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section nay continue. See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person * ALLESSIO ROBERT M Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) (Street) 4. If Amendment, Date Original Filed (Month/Day/Year) (Street) 4. If Amendment, Date Original (Street) 4. If Amendment,
if no longer subject to Section 16.       STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16.       Expires:       Current of the security o
subject to STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Strated average burden hours per response 0.5 Section 16. SECURITIES Section 16.(a) of the Securities Exchange Act of 1934, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 17(a) of the Public Utility Holding Company Act of 1935, obligations (b) of the Investment Company Act of 1940 (b). (Print or Type Responses) 1. Name and Address of Reporting Person 2. Subject 2. Issuer Name and Ticker or Trading Symbol ENERGY EAST CORP [EAS] (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 2.//Other (specify below) President & CEO-Subsidiary President & CEO-Su
Form 4 or       Form 5       Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations       0.5         Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940       1.0       0.5         See Instruction 30(h) of the Investment Company Act of 1940       1.0       0.5       0.5         1. Name and Address of Reporting Person 1(b).       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         ALLESSIO ROBERT M       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       0.10       3. Date of Earliest Transaction       (Check all applicable)         THE BERKSHIRE GAS       02/07/2007       — Director       — 10% Owner         COMPANY, 115 CHESHIRE       02/07/2007       — Director       — 10% Owner         (Street)       4. If Amendment, Date Original       6. Individual or Joint/Group Filing(Check Applicable Line)         (Street)       4. If Amendment, Date Original       6. Individual or Joint/Group Filing(Check Applicable Line)         "K. Form filed by One Reporting Person       — Term filed by One Reporting Person       — Term filed by One Reporting Person
Form 5 obligations may continue. See Instruction       Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. See Instruction       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)       30(h) of the Investment Company Act of 1940         1. Name and Address of Reporting Person 1 (b).       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)
obligations may continue. See Instruction 1(b).       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)       . Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       5. Relationship of Reporting Person(s) to Issuer         THE BERKSHIRE GAS COMPANY, 115 CHESHIRE ROAD       02/07/2007       The Amendment, Date Original Filed(Month/Day/Year)       Director 
may continue.       30(h) of the Investment Company Act of 1940         See Instruction       30(h) of the Investment Company Act of 1940         1(b).       (Print or Type Responses)         1. Name and Address of Reporting Person*       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       (Check all applicable)         THE BERKSHIRE GAS COMPANY, 115 CHESHIRE ROAD       02/07/2007       Director 
Induction 1       Image: Second constraints of the second consecond constraints of the second constraints of
(Print or Type Responses)       1. Name and Address of Reporting Person *       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         ALLESSIO ROBERT M       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction       (Check all applicable)         THE BERKSHIRE GAS       02/07/2007       Director       10% Owner         COMPANY, 115 CHESHIRE       02/07/2007       Persident & CEO-Subsidiary         (Street)       4. If Amendment, Date Original Filed(Month/Day/Year)       6. Individual or Joint/Group Filing(Check         Applicable Line)       -X. Form filed by One Reporting Person       -X. Form filed by One Reporting Person
1. Name and Address of Reporting Person 1       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         ALLESSIO ROBERT M       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       (Check all applicable)         THE BERKSHIRE GAS       02/07/2007       — Director
ALLESSIO ROBERT M Symbol ENERGY EAST CORP [EAS] (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) THE BERKSHIRE GAS COMPANY, 115 CHESHIRE ROAD (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) A. If Amendment, Date Original A. If Amendment, Date Original Filed(Month/Day/Year) A. Form filed by One Reporting Person A. Form filed by One Reporting Person A. Form Filed by One Reporting Person A. Form Filed by One Reporting Person
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(Last)       (First)       (Middle)       3. Date of Earliest Transaction       (Check all applicable)         (Last)       (First)       (Middle)       3. Date of Earliest Transaction       (Month/Day/Year)      Director      10% Owner         THE BERKSHIRE GAS       02/07/2007      Officer (give title      0other (specify below)         COMPANY, 115 CHESHIRE       02/07/2007      Officer (give title      0other (specify below)         (Street)       4. If Amendment, Date Original Filed(Month/Day/Year)       6. Individual or Joint/Group Filing(Check         Applicable Line)
(Last)       (First)       (Middle)       3. Date of Earliest Transaction       (Check all applicable)         (Last)       (First)       (Middle)       3. Date of Earliest Transaction
THE BERKSHIRE GAS       (Month/Day/Year)
THE BERKSHIRE GAS COMPANY, 115 CHESHIRE       02/07/2007      XOfficer (give titleOther (specify below)         ROAD       (Street)       4. If Amendment, Date Original       6. Individual or Joint/Group Filing(Check         Filed(Month/Day/Year)      X_Form filed by One Reporting Person      X_Form filed by One Reporting Person
COMPANY, 115 CHESHIRE ROAD (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 4. If Amendment, Date Original Filed(Month/Day/Year) 5. CHESHIRE President & CEO-Subsidiary 6. Individual or Joint/Group Filing(Check Applicable Line) 
ROAD (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 4. If Amendment, Date Original Filed(Month/Day/Year) 5. Comm filed by One Reporting Person Comm filed by One Reporting Person Form filed by One Person Form fil
(Street)       4. If Amendment, Date Original       6. Individual or Joint/Group Filing(Check         Filed(Month/Day/Year)       Applicable Line)         _X_Form filed by One Reporting Person         _Sorm filed by One Reporting Person
Filed(Month/Day/Year) Form filed by One Reporting Person Form filed by One Reporting Person
_X_ Form filed by One Reporting Person
Form filed by More than One Departing
Person
(City) (State) (Zip) <b>Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned</b>
1. Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of 6. 7. Nature of
Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities Ownership Indirect
(Instr. 3)anyCode(Instr. 3, 4 and 5)BeneficiallyForm: DirectBeneficial(Month/Day/Year)(Instr. 8)Owned(D) orOwnership
Following Indirect (I) (Instr. 4)
(A) Reported (Instr. 4)
(A) Transaction(s) or (Instr. 3 and 4)
Code V Amount (D) Price
Common $02/07/2007$ A $8,100$ A $27,750.0414$ D
Stock $(5)$ $(1)$ $(1)$ $(1)$ $(1)$

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)

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. Transacti Code (Instr. 8)	Securities	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	Amoun or Numbe of Share
Employee Stock Option (right to buy) / SAR (2)	\$ 26.22					04/01/2005 <u>(3)</u>	04/01/2015	Common Stock	11,96
Employee Stock Option (right to buy) / SAR (2)	\$ 24.83					02/17/2006 <u>(4)</u>	02/17/2016	Common Stock	9,300
Employee Stock Option (right to buy) / SAR (2)	\$ 24.76	02/07/2007		A	9,300	02/07/2007 <u>(6)</u>	02/07/2017	Common Stock	9,300

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## **Reporting Owners**

Reporting Owner Name / AddressDirector10% OwnerOfficerOtherALLESSIO ROBERT M<br/>THE BERKSHIRE GAS COMPANY<br/>15 CHESHIRE ROAD<br/>PITTSFIELD, MA 01201LessLessPresident & CEO-SubsidiarySignaturesLessLessLessLessLess

Robert M. Allessio

02/08/2007

<u>\*\*</u>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) Includes equity securities acquired with reinvested dividends which are exempt from reporting under Rule 16a-11.

The Stock Appreciation Right (SAR) was issued in tandem with an Employee Stock Option (right to buy). The exercise of a SAR will result in the corresponding cancellation of the Employee Stock Option (right to buy) to the extent of the number of shares of the

- (2) Company's Common Stock as to which SARs are exercised. The exercise of the Employee Stock Option (right to buy) will result in the corresponding cancellation of a SAR to the extent of the number of shares of the Company's Common Stock as to which the Employee Stock Option (right to buy) is exercised.
- The option is exercisable in three installments regarding the original number of options granted as follows: (a) in aggregate as to no more
  (3) than 33 1/3% on April 1, 2005; (b) in aggregate as to no more than 66 2/3% on January 1, 2006; and (c) on January 1, 2007 as to 100% of all options which have not been previously exercised.

The option is exercisable in three installments regarding the original number of options granted as follows: (a) in aggregate as to no more
(4) than 33 1/3% on February 17, 2006; (b) in aggregate as to no more than 66 2/3% on January 1, 2007; and (c) on January 1, 2008 as to 100% of all options which have not been previously exercised.

(5) Grant of Restricted Stock.

The option is exercisable in three installments regarding the original number of options granted as follows: (a) in aggregate as to no more

(6) than 33 1/3% on February 7, 2007; (b) in aggregate as to no more than 66 2/3% on January 1, 2008; and (c) on January 1, 2009 as to 100% of all options which have not been previously exercised.

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.