

HADDRILL RICHARD M

Form 4

October 09, 2009

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

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
HADDRILL RICHARD M

2. Issuer Name **and** Ticker or Trading
Symbol
BALLY TECHNOLOGIES, INC.
[BYI]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

6601 S. BERMUDA ROAD

(Street)

LAS VEGAS, NV 89119

(City) (State) (Zip)

3. Date of Earliest Transaction
(Month/Day/Year)
10/07/2009

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

Chief Executive Officer

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

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, par value \$.10 per share	10/07/2009		M	4,000	A \$ 14.77	727,404	D
Common Stock, par value \$.10 per share	10/07/2009		S ⁽¹⁾	4,000	D \$ (2)	723,404	D
Common Stock, par value \$.10 per share	10/07/2009		M	21,000	A \$ 15.07	744,404	D

Common Stock, par value \$.10 per share	10/07/2009	<u>S⁽¹⁾</u>	21,000	D	\$ <u>38.0882</u> ⁽³⁾	723,404	D
Common Stock, par value \$.10 per share	10/08/2009	M	1,500	A	\$ 15.07	724,904	D
Common Stock, par value \$.10 per share	10/08/2009	<u>S⁽¹⁾</u>	1,500	D	\$ <u>39.3137</u> ⁽⁴⁾	723,404	D
Common Stock, par value \$.10 per share	10/08/2009	M	22,700	A	\$ 15.07	746,104	D
Common Stock, par value \$.10 per share	10/08/2009	<u>S⁽¹⁾</u>	22,700	D	\$ <u>40.3512</u> ⁽⁵⁾	723,404	D
Common Stock, par value \$.10 per share	10/08/2009	M	800	A	\$ 15.07	724,204	D
Common Stock, par value \$.10 per share	10/08/2009	<u>S⁽¹⁾</u>	800	D	\$ <u>40.8975</u> ⁽⁶⁾	723,404	D

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 Security (Instr. 3 and 4)
				Code V	(A) (D)	Date Exercisable Expiration Date	Title Amount or Number

Employee Stock Options (Right to Buy)	\$ 14.77	10/07/2009	M	4,000	06/13/2005 ⁽⁷⁾	06/13/2015	Common Stock, par value \$.10 per share	4,000
Employee Stock Options (Right to Buy)	\$ 15.07	10/07/2009	M	21,000	⁽⁸⁾	06/21/2016	Common Stock, par value \$.10 per share	21,000
Employee Stock Options (Right to Buy)	\$ 15.07	10/08/2009	M	25,000	⁽⁸⁾	06/21/2016	Common Stock, par value \$.10 per share	25,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HADDRILL RICHARD M 6601 S. BERMUDA ROAD LAS VEGAS, NV 89119	X		Chief Executive Officer	

Signatures

/s/Richard M.
Haddrill

10/09/2009

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) The sales were pursuant to a Rule 10b5-1 Trading Agreement dated May 13, 2009.

This transaction was executed in multiple trades at prices from \$37.62 to \$37.89. The price above reflects the weighted average sale price.

(2) The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

This transaction was executed in multiple trades at prices from \$37.89 to \$38.55. The price above reflects the weighted average sale price.

(3) The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

This transaction was executed in multiple trades at prices from \$38.835 to \$39.70. The price above reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

This transaction was executed in multiple trades at prices from \$39.84 to \$40.84. The price above reflects the weighted average sale price.

(5) The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

Edgar Filing: HADDRILL RICHARD M - Form 4

This transaction was executed in multiple trades at prices from \$40.85 to \$40.99. The price above reflects the weighted average sale price.

- (6) The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.
- (7) The shares underlying the options could not be sold prior to January 1, 2007.
- (8) The options vested as follows: (i) 66,667 on February 28, 2008; (ii) 66,667 on July 31, 2008; and 66,666 on January 1, 2009 in each case subject to Mr. Hadrill's continuous employment as the Company's Chief Executive Officer through each such date.
- (9) Granted as compensation for services.

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.