

Edgar Filing: Alpha Natural Resources, Inc. - Form SC 13G/A

Alpha Natural Resources, Inc.

Form SC 13G/A

February 14, 2014

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

SCHEDULE 13G

Under the Securities Exchange Act of 1934
(Amendment No.1) *

Alpha Natural Resources, Inc.
(Name of Issuer)

Common Stock, \$0.01 Par Value
(Title of Class of Securities)

02076X102
(CUSIP Number)

December 31, 2013
(Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule
pursuant to which this Schedule is filed:

☒ Rule 13d-1(b)
☐ Rule 13d-1(c)
☐ Rule 13d-1(d)

*The remainder of this cover page shall be filled out for a reporting
person's initial filing on this form with respect to
the subject class of securities, and for any subsequent
amendment containing information which would alter the
disclosures provided in a prior cover page.

The information required in the remainder of this cover
page shall not be deemed to be 'filed' for the purpose
of Section 18 of the Securities Exchange Act of 1934
('Act') or otherwise subject to the liabilities of that
section of the Act but shall be subject to all other
provisions of the Act (however, see the Notes).

CUSIP No. 02076X102

1. Names of Reporting Persons.

Barclays PLC

2. Check the Appropriate Box if a Member of a Group (See Instructions)

(a) ☐
(b) ☐

3. SEC Use Only

4. Citizenship or Place of Organization

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England, United Kingdom

Number of	5. Sole Voting Power
Shares	12,094,117
Beneficially	-----
Owned by Each	6. Shared Voting Power
Reporting	-0-
Person With:	-----
	7. Sole Dispositive Power
	12,094,117

	8. Shared Dispositive Power
	-0-

9. Aggregate Amount Beneficially Owned by Each Reporting Person

12,094,117

10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares
(See Instructions) []

11. Percent of Class Represented by Amount in Row (9)

5.47%

12. Type of Reporting Person (See Instructions)

HC

CUSIP No. 02076X102

1. Names of Reporting Persons.

Barclays Capital Inc.

2. Check the Appropriate Box if a Member of a Group (See Instructions)

(a) []

(b) []

3. SEC Use Only

4. Citizenship or Place of Organization

Connecticut, United States

Number of	5. Sole Voting Power
Shares	778,451
Beneficially	-----
Owned by Each	6. Shared Voting Power
Reporting	-0-
Person With:	-----
	7. Sole Dispositive Power
	778,451

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8. Shared Dispositive Power
-0-

9. Aggregate Amount Beneficially Owned by Each Reporting Person

778,451

10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares
(See Instructions) []

11. Percent of Class Represented by Amount in Row (9)

0.35%

12. Type of Reporting Person (See Instructions)

BD

CUSIP No. 02076X102

1. Names of Reporting Persons.

Barclays Capital Derivative Funding LLC

2. Check the Appropriate Box if a Member of a Group (See Instructions)

(a) []
(b) []

3. SEC Use Only

4. Citizenship or Place of Organization

Delaware, United States

Number of Shares Beneficially Owned by Each Reporting Person With:	5. Sole Voting Power
	11,248,685

	6. Shared Voting Power
	-0-

	7. Sole Dispositive Power
	11,248,685

	8. Shared Dispositive Power
	-0-

9. Aggregate Amount Beneficially Owned by Each Reporting Person
11,248,685

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10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares
(See Instructions) []

11. Percent of Class Represented by Amount in Row (9)

5.09%

12. Type of Reporting Person (See Instructions)

BD

CUSIP No. 02076X102

1. Names of Reporting Persons.

Barclays Capital Securities Limited

2. Check the Appropriate Box if a Member of a Group (See Instructions)

(a) []

(b) []

3. SEC Use Only

4. Citizenship or Place of Organization

England, United Kingdom

Number of Shares Beneficially Owned by Each Reporting Person With:	5. Sole Voting Power
	6,981
	6. Shared Voting Power
	-0-
	7. Sole Dispositive Power
	6,981
	8. Shared Dispositive Power
	-0-

9. Aggregate Amount Beneficially Owned by Each Reporting Person
6,981

10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares
(See Instructions) []

11. Percent of Class Represented by Amount in Row (9)

0.00%

12. Type of Reporting Person (See Instructions)

BD

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CUSIP No. 02076X102

1. Names of Reporting Persons.

Barclays Private Bank and Trust Limited

2. Check the Appropriate Box if a Member of a Group (See Instructions)

(a) ☐

(b) ☐

3. SEC Use Only

4. Citizenship or Place of Organization

St Helier, Jersey

Number of Shares Beneficially Owned by Each Reporting Person With:	5. Sole Voting Power
	60,000

	6. Shared Voting Power
	-0-

	7. Sole Dispositive Power
	60,000

8. Shared Dispositive Power	
-0-	

9. Aggregate Amount Beneficially Owned by Each Reporting Person
60,000

10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares
(See Instructions) ☐

11. Percent of Class Represented by Amount in Row (9)

0.03%

12. Type of Reporting Person (See Instructions)

IV

Item 1.

(a) Name of Issuer:

Alpha Natural Resources, Inc.

(b) Address of Issuer's Principal Executive Offices:

One Alpha Place, P.O. Box 16429

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Bristol, Virginia 24209

Item 2.

(a) Name of Person Filing:

- (1) Barclays PLC
- (2) Barclays Capital Inc.
- (3) Barclays Capital Derivative Funding LLC
- (4) Barclays Capital Securities Limited
- (5) Barclays Private Bank and Trust Limited

(b) Address of Principal Business Office or, if none, Residence:

(1) Barclays PLC
1 Churchill Place,
London, E14 5HP, England

(2) Barclays Capital Inc.
745 Seventh Avenue
New York, NY 10019

(3) Barclays Capital Derivative Funding
C/O Corporation Trust Company
Corporation Trust Center
1209 Orange Street
Wilmington DE 19801

(4) Barclays Capital Securities Limited
5 The North Colonnade
Canary Wharf
London, E14 4BB, England

(5) Barclays Private Bank and Trust Limited
39/41 Broad Street
St Helier
Jersey
JE4 8PU
Channel Islands

(c) Citizenship:

- (1) Barclays PLC: England, United Kingdom
- (2) Barclays Capital Inc.: Connecticut, United States
- (3) Barclays Capital Derivative Funding: Delaware, United States
- (4) Barclays Capital Securities Limited: England, United Kingdom
- (5) Barclays Private Bank and Trust Limited: St Helier, Jersey, Channel islands

(d) Title of Class of Securities: Common Stock, \$0.01 Par Value

(e) CUSIP Number: 02076X102

Item 3. If this statement is filed pursuant to Sub-Section 240.13d-1

(b) or 240.13d-2(b)
or (c), check whether the person filing is a:

- (a) ☒ [X] Broker or dealer registered under section 15 of the Act (15 U.S.C. 78o);

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- (b) ☐ Bank as defined in section 3(a)(6) of the Act (15 U.S.C. 78c);
 - (c) ☐ Insurance company as defined in section 3(a)(19) of the Act (15 U.S.C. 78c);
 - (d) ☐ Investment company registered under section 8 of the Investment Company Act of 1940 (15 U.S.C. 80a-8);
 - (e) ☐ An investment adviser in accordance with Sub-Section 240.13d-1(b)(1)(ii)(E);
 - (f) ☐ An employee benefit plan or endowment fund in accordance with Sub-Section 240.13d-1(b)(1)(ii)(F);
 - (g) ☒ A parent holding company or control person in accordance with Sub-Section 240.13d-1(b)(1)(ii)(G);
 - (h) ☐ A savings association as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813);
 - (i) ☐ A church plan that is excluded from the definition of an investment company under section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3);
 - (j) ☒ A non-U.S. institution that is the functional equivalent of any of the institutions listed in Rule 240.13d-1(b)(1)(ii)(A) through (I);
 - (k) ☐ Group, in accordance with Sub-Section 240.13d-1(b)(1)(ii)(J).
-

Item 4. Ownership.

Provide the following information regarding the aggregate number and percentage of the class of securities of the issuer identified in Item 1.

- (a) Amount beneficially owned:
See the response(s) to Item 9 on the attached cover page(s).
 - (b) Percent of class:
See the response(s) to Item 11 on the attached cover page(s).
 - (c) Number of shares as to which the person has:
 - (i) Sole power to vote or to direct the vote:
See the response(s) to Item 5 on the attached cover page(s).
 - (ii) Shared power to vote or to direct the vote:
See the response(s) to Item 6 on the attached cover page(s).
 - (iii) Sole power to dispose or to direct the disposition of:
See the response(s) to Item 7 on the attached cover page(s).
 - (iv) Shared power to dispose or to direct the disposition of:
See the response(s) to Item 8 on the attached cover page(s).
-

Item 5. Ownership of Five Percent or Less of a Class.

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following

☐

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Item 6. Ownership of More than Five Percent on Behalf of Another Person.

Not Applicable.

Item 7. Identification and Classification of the Subsidiary
Which Acquired the Security Being Reported on By the
Parent Holding Company.

See Exhibit A.

Item 8. Identification and Classification of Members of the Group.

Not Applicable.

Item 9. Notice of Dissolution of Group.

Not Applicable.

Item 10. Certification.

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were acquired and are held in the ordinary course of business and were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect.

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Dated: February 14, 2014

By : Dirk Young

Title: Managing Director, Head of Central Compliance

INDEX TO EXHIBITS

Exhibit A Item 7 Information

Exhibit B Joint Filing Agreement

EXHIBIT A

The securities being reported by Barclays PLC, as a parent holding company, are owned, or may be deemed to be beneficially owned, by Barclays Capital Inc., a broker or dealer registered under Section 15 of the Act, Barclays Capital Derivative Funding LLC, a US unregulated Delaware LLC, Barclays Capital Securities Limited, a non-US broker or dealer authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority in the United Kingdom, Barclays Private Bank & Trust Ltd, regulated by Jersey Financial Services Commission in Jersey. Barclays Capital Inc., Barclays Capital Securities Ltd, Barclays Capital Derivative Funding LLC and Barclays Private Bank & Trust Ltd are wholly-owned subsidiaries of Barclays PLC.

EXHIBIT B

JOINT FILING AGREEMENT

The undersigned hereby agree that the Statement on Schedule 13G filed herewith (and any amendments thereto), is being filed jointly with the Securities and Exchange Commission pursuant to Rule 13d-1(k) (1) under the Securities Exchange Act of 1934, as amended, on behalf of each such person.

Dated: February 14, 2014

BARCLAYS PLC

By:

Name: Dirk Young

Title: Managing Director, Head of Central Compliance

BARCLAYS CAPITAL INC.

By:

Name: Dirk Young

Title: Managing Director, Head of Central Compliance

BARCLAYS CAPITAL DERIVATIVE FUNDING LLC

By:

Name: Dirk Young

Title: Managing Director, Head of Central Compliance

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Barclays Capital Securities Limited

By:

Name: Dirk Young

Title: Managing Director, Head of Central Compliance

BARCLAYS PRIVATE BANK AND TRUST LIMITED

By:

Name: Dirk Young

Title: Managing Director, Head of Central Compliance