

HADDRILL RICHARD M  
Form 4  
October 09, 2009

**FORM 4**

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

OMB APPROVAL

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

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

(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)

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

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
Chief Executive Officer

LAS VEGAS, NV 89119

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

(City) (State) (Zip)

**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) |
|---|--------------------------------------|--|--------------------------------|---|---|--|---|
|   |                                      |  | Code                           | V   | Amount  | (D)  | Price   |
| Common Stock, par value \$.10 per share | 10/07/2009                           |  | M                              |   | 4,000   | A  | \$ 14.77 727,404                                      |
| Common Stock, par value \$.10 per share | 10/07/2009                           |  | S <sup>(1)</sup>               |   | 4,000   | D  | \$ 37.8107 723,404                                    |
| Common Stock, par value \$.10 per share | 10/07/2009                           |  | M                              |   | 21,000  | A  | \$ 15.07 744,404                                      |

Edgar Filing: HADDRILL RICHARD M - Form 4

|   |            |                         |        |   |                             |         |   |
|---|------------|-------------------------|--------|---|-----------------------------|---------|---|
| Common Stock, par value \$.10 per share | 10/07/2009 | <u>S</u> <sup>(1)</sup> | 21,000 | D | \$<br>38.0882<br><u>(3)</u> | 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</u> <sup>(1)</sup> | 1,500  | D | \$<br>39.3137<br><u>(4)</u> | 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</u> <sup>(1)</sup> | 22,700 | D | \$<br>40.3512<br><u>(5)</u> | 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</u> <sup>(1)</sup> | 800    | D | \$<br>40.8975<br><u>(6)</u> | 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<br>Stock<br>Options<br>(Right to<br>Buy) | \$ 14.77 | 10/07/2009 | M | 4,000  | 06/13/2005 <sup>(7)</sup> | 06/13/2015 | Common<br>Stock, par<br>value<br>\$.10 per<br>share | 4,000  |
| Employee<br>Stock<br>Options<br>(Right to<br>Buy) | \$ 15.07 | 10/07/2009 | M | 21,000 | <sup>(8)</sup>            | 06/21/2016 | Common<br>Stock, par<br>value<br>\$.10 per<br>share | 21,000 |
| Employee<br>Stock<br>Options<br>(Right to<br>Buy) | \$ 15.07 | 10/08/2009 | M | 25,000 | <sup>(8)</sup>            | 06/21/2016 | Common<br>Stock, par<br>value<br>\$.10 per<br>share | 25,000 |

## Reporting Owners

| Reporting Owner Name / Address                                    | Relationships |           |                         |       |
|---|---------------|-----------|-------------------------|-------|
|   | Director      | 10% Owner | Officer                 | Other |
| HADDRILL RICHARD M<br>6601 S. BERMUDA ROAD<br>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.

(4) 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.