

# SECURITIES & EXCHANGE COMMISSION EDGAR FILING

**Yuma Energy, Inc.**

**Form: SC 13D**

**Date Filed: 2017-10-27**

Corporate Issuer CIK: 1672326

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

**SCHEDULE 13D**

**Under the Securities Exchange Act of 1934**

**YUMA Energy**  
(Name of Issuer)

**Sanders Morris Harris LLC**  
(Title of Class of Securities)

**98872F105**  
(CUSIP Number)

**David Block 600 Travis Suite 5900 Houston Texas 77002 713 2264808**  
(Name, Address and Telephone Number of Person Authorized to Receive Notices and Communications)

**October 17, 2017**  
(Date of Event which Requires Filing of this Statement)

If the filing person has previously filed a statement on Schedule 13G to report the acquisition which is the subject of this Schedule 13D, and is filing this schedule because of 240.13d-1(e), 240.13d-1(f) or 240.13d-1(g), check the following box. [X]

\* 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 disclosures provided in a prior cover page

The information required on the remainder of this cover page shall not be deemed to be filed for the purposes of Section 18 of the Securities Exchange Act of 1934 (the 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 Instructions).

1	<b>NAME OF REPORTING PERSON:</b> Sanders Morris Harris LLC  <b>I.R.S. IDENTIFICATION NO. OF ABOVE PERSON (ENTITIES ONLY)</b> 760224835		
2	<b>CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP</b> <input type="checkbox"/> (a) <input type="checkbox"/> (b)		
3	<b>SEC USE ONLY</b>		
4	<b>SOURCE OF FUNDS:</b> SMH LLC in its capacity as a Broker Dealer, used funds provided through the accounts of certain of its clients to purchase the Securities reported as beneficially owned		
5	<b>CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR 2(e)</b> <input type="checkbox"/>		
6	<b>CITIZENSHIP OR PLACE OF ORGANIZATION</b> Texas		
<b>NUMBER OF SHARES BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH</b>	7	<b>SOLE VOTING POWER</b> 5,299,686	
	8	<b>SHARED VOTING POWER</b> 0	
	9	<b>SOLE DISPOSITIVE POWER</b> 5,299,686	
	10	<b>SHARED DISPOSITIVE POWER</b> 0	
11	<b>AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON</b> 5,299,686		
12	<b>CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES</b> <input type="checkbox"/>		
13	<b>PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (11)</b> 23.92%		
14	<b>TYPE OF REPORTING PERSON</b> Broker or dealer registered under Section 15 of the Act (15 U.S.C. 78c) An investment adviser in accordance with 240.13d-1(b)(1)(ii)(E)		

**ITEM 1. SECURITY AND ISSUER:**

YUMA Energy, Inc.

**ITEM 2. IDENTITY AND BACKGROUND:**

Common Stock no par value

**ITEM 3. SOURCE AND AMOUNT OF FUNDS OR OTHER CONSIDERATION:**

Funds provided through the accounts of certain of its clients to purchase the Securities reported as beneficially owned

**ITEM 4. PURPOSE OF TRANSACTION:**

The Securities reported as beneficially owned were purchased by SMH LLC in its capacity as a Broker Dealer on behalf of its clients for investment purposes in the ordinary course of business.

**ITEM 5. INTEREST IN SECURITIES OF THE ISSUER:**

none

**ITEM 6. CONTRACTS, ARRANGEMENTS, UNDERSTANDINGS OR RELATIONSHIPS WITH RESPECT TO SECURITIES OF THE ISSUER:**

none

**ITEM 7. MATERIALS TO BE FILED AS EXHIBITS:**

none

## 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.

October 27 2017

Sanders Morris Harris LLC

By: /s/ David Block

Name: David BLock

Title: Operations Manager

Attention — Intentional misstatements or omissions of fact constitute Federal criminal violations (See 18 U.S.C. 1001).