

# **SECURITIES & EXCHANGE COMMISSION EDGAR FILING**

Yuma Energy, Inc.

Form: 3

Date Filed: 2016-11-07

Corporate Issuer CIK: 1672326

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# FORM 3

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB Number: Estimated average burden hours per response...

16(a) of the Securities Evolution Act of 1924 or Section 20(b) of the I

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(Print or Type Responses)											
			Date of Event Requiring Statement (Month/Day/Year) 10/26/2016		3. Issuer Name and Ticker or Trading Symbol Yuma Energy, Inc. [YUMA]						
(Last) (First) (Middle) 10100 SANTA MONICA BOULEVARD, SUITE 925,					Relationship of Reporting Person(s) to Issuer     (Check all applicable)			5. If Amendment, Date Original FiledMonth/Day/Year)			
	(Street)				Director Officer (give title below)	X 10% Owner Other (specify below)		Individual or Joint/Group Filing(Check Applicable Line)     Form filed by One Reporting Person			
LOS ANGELES, CA 9006	7							X_Form filed by More than One Reporting Person			
(City)	(State)	(Zip)		Table I - Non-Derivative Securities Beneficially Owned							
1.Title of Security (Instr. 4)				Amount of Securities Benefit     (Instr. 4)	cially Owned	Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Ind (Instr. 5)	direct Beneficial Ownership			
Common Stock			2,525,052 I See		See Footno	See Footnote and Remarks below. (1)					
Reminder: Report on a separate	line for each class of securities be	,							SEC 1473 (7-02)		

5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5) Date Exercisable and Expiration Date (Month/Day/Year) . Title of Derivative Security Instr. 4) Nature of Indirect Beneficial Ownership
 (Instr. 5) Title and Amount of Securities Underlying Derivative Security (Instr. 4) Conversion or Exercise Price of Derivative Security Series D Convertible Preferred Stock 1,743,313 \$11.074 See Footnote and Remarks below. (3)

### **Reporting Owners**

Reporting Owner Name / Address	Relationships					
Reporting Owner Name / Address	Director	10% Owner	Officer	Other		
MESDAG WILLEM 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES, CA 90067		х				
RED MOUNTAIN CAPITAL PARTNERS LLC 10100 SANTA MONICA BOULEVARD SUITE 925 LOS ANGELES, CA 90067		х				
RED MOUNTAIN CAPITAL MANAGEMENT INC 10100 SANTA MONICA BOULEVARD SUITE 925 LOS ANGELES, CA 90067		х				
RMCP GP LLC 10100 SANTA MONICA BOULEVARD SUITE 925 LOS ANGELES, CA 90067		х				
RMCP DPC LLC 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES, CA 90067		x				
RMCP DPC II LLC 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES, CA 90067		x				
RMCP PIV DPC, L.P. 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES, CA 90067		×				
RMCP PIV DPC II, L.P. 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES, CA 90067		х				

# Signatures

/s/ Willem Mesdag (on behalf of himself and the other Reporting Persons)	11/07/2016
-Signature of Reporting Person	Date

### **Explanation of Responses:**

If the form is filed by more than one reporting person, see Instruction 5(b)(v).

\* (1) (2) (3)

Intertional installation is recorded by involved intertional reporting pressurates are recorded. The intertional installations of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

These shares are held directly by RMCP PIV DPC, L.P. ("DPC PIV").

The Series D Convertible Preferred Slock is convertible into shares of Common Slock at the option of the holder at any time or upon certain mandatory triggering events and has no expiration date.

These shares are held directly by RMCP PIV DPC II, L.P. ("DPC PIV II").

#### Remarks:

This Form 3 is jointly filed by (i) DPC PIV, (ii) DPC PIV II, (iii) RMCP DPC LLC ("DPC"), (iv) RMCP DPC II LLC ("DPC II"), (v) RMCP GP LLC ("RMCP GP"), (vi) Red Mountain Capital Partners LLC ("RMCP"), (vii) Red Mountain Capital Management, Inc. ("RMCM GP"), (vii) Red Mountain Capital Partners LLC ("RMCP"), (viii) Red Mountain Capital Partners LLC ("RMCP"), (vii

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.

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL	
OMB Number:	3235-0104
Estimated average burden hours per	
response	0.5

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(Print or Type Responses)									
	Date of Event Requiring Statement (Month/Day/Year)     10/26/2016	3. Issuer Name and Ticker or Trading Symbol Yuma Energy, Inc. [YUMA]							
(Last) (First) (Middle) 10100 SANTA MONICA BOULEVARD, SUITE 925,		Relationship of Reporting Person(s) to Issuer     (Check all applicable)		If Amendment, Date Original Filed(Month/Day/Year)					
(Street)		Director Officer (give title below)	X 10% Owner Other (specify below)	Individual or Joint/Group Filling(Check Applicable Line)     Form filed by One Reporting Person     X Form filed by More than One Reporting Person					
LOS ANGELES, CA 90067				_X_Form filed by More than One Reporting Person					
(Chy) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned									
1.Title of Security (Instr. 4)	Amount of Securities Bene (Instr. 4)			Nature of Indirect Beneficial Ownership (Instr. 5)					
Common Stock	2,525,052	2,525,052		See Footnote and Remarks below. (1)					
Reminder Report on a senarate line for each class of servirilies heneficially quant directly or indirectly									

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)									
Title of Derivative Security	Date Exercisable and		3. Title and Amount of Securities Underlying Derivative Security		Conversion or Exercise	5. Ownership Form of	Nature of Indirect Beneficial Ownership		
		(Instr. 4)		Price of Derivative Security	Derivative Security: Direct (D)	(Instr. 5)			
	(Month/Day/Year)					or Indirect (I)			
			Title	Amount or Number of Shares		(Instr. 5)			
	Exercisable	Date							
Series D Convertible Preferred Stock	(2)	(2)	Common Stock	1,743,313	\$ 11.074	1	See Footnote and Remarks below. (3)		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
Reporting Owner Name / Address	Director	10% Owner	Officer	Other		
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RMCP DPC LLC 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES, CA 90067		x				
RMCP DPC II LLC 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES, CA 90067		x				
RMCP PIV DPC, L.P. 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES, CA 90067		×				
RMCP PIV DPC II, L.P. 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES, CA 90067		х				

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