

SECURITIES & EXCHANGE COMMISSION EDGAR FILING

Yuma Energy, Inc.

Form: 3

Date Filed: 2016-11-07

Corporate Issuer CIK: 1672326

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person MESDAG WILLEM		2. 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,		4. Relationship of Reporting Person(s) to Issuer (Check all applicable) ____ Director ____ Officer (give title below) _____ 10% Owner ____ Other (specify below)		5. If Amendment, Date Original Filed (Month/Day/Year)
(Street) LOS ANGELES, CA 90067				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 Beneficially Owned		

1. Title of Security (Instr. 4) Common Stock	2. Amount of Securities Beneficially Owned (Instr. 4) 2,525,052	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) I	4. Nature of Indirect Beneficial Ownership (Instr. 5) See Footnote and Remarks below. (1)
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Series D Convertible Preferred Stock	(2)	(2)	Common Stock	1,743,313	\$ 11.074	I	See Footnote and Remarks below. (3)

Reporting Owners

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

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).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) These shares are held directly by RMCP PIV DPC, L.P. ("DPC PIV").
- (2) The Series D Convertible Preferred Stock is convertible into shares of Common Stock at the option of the holder at any time or upon certain mandatory triggering events and has no expiration date.
- (3) 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")

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, See Instruction 6 for procedure.

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1. Name and Address of Reporting Person MESDAG WILLEM		2. Date of Event Requiring Statement (Month/Day/Year) 10/26/2016	3. Issuer Name and Ticker or Trading Symbol Yuma Energy, Inc. [YUMA]	
10100 SANTA MONICA BOULEVARD, SUITE 925, LOS ANGELES, CA 90067		4. Relationship of Reporting Person(s) to Issuer (Check all applicable) ____ Director ____ Officer (give title below) _____ 10% Owner ____ Other (specify below)		5. 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 Beneficially Owned

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Common Stock	2,525,052	I	See Footnote and Remarks below. (1)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Series D Convertible Preferred Stock	(2)	(2)	Common Stock	1,743,313	\$ 11.074	I	See Footnote and Remarks below. (3)

Reporting Owners

Reporting Owner Name / Address	Relationships			
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MESDAG WILLEM 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES, CA 90067		X		
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RED MOUNTAIN CAPITAL MANAGEMENT INC 10100 SANTA MONICA BOULEVARD SUITE 925 LOS ANGELES, CA 90067		X		
RMCP GP LLC 10100 SANTA MONICA BOULEVARD SUITE 925 LOS ANGELES, CA 90067		X		
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		X		
RMCP PIV DPC II, L.P. 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES, CA 90067		X		

Signatures

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

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