

SECURITIES & EXCHANGE COMMISSION EDGAR FILING

Yuma Energy, Inc.

Form: 4

Date Filed: 2016-12-16

Corporate Issuer CIK: 1672326

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 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person: MESDAG WILLEM 10100 SANTA MONICA BOULEVARD, SUITE 925, LOS ANGELES, CA 90067	2. Issuer Name and Ticker or Trading Symbol Yuma Energy, Inc. [YUMA] 3. Date of Earliest Transaction (Month/Day/Year) 12/14/2016 4. If Amendment, Date Original Filed (Month/Day/Year)	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer (give title below) _____ Other (specify below) _____ 6. Individual or Joint/Group Filing (Check Applicable Line) Form filed by One Reporting Person <input checked="" type="checkbox"/> Form filed by More than One Reporting Person <input type="checkbox"/>
---	--	---

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	(A) or (D)	Price			
Common Stock	12/14/2016		P		13,070	A	\$ 3.5151 ⁽¹⁾	2,538,122	I	See Footnote and Remarks below. ⁽²⁾
Common Stock	12/15/2016		P		10,630	A	\$ 3.4246 ⁽³⁾	2,548,752	I	See Footnote and Remarks below. ⁽²⁾
Common Stock	12/16/2016		P		8,100	A	\$ 3.3864 ⁽⁴⁾	2,556,852	I	See Footnote and Remarks below. ⁽²⁾

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 Securities (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Series D Convertible Preferred Stock	\$ 11.074							⁽⁵⁾	⁽⁵⁾	Common Stock	1,743,313		1,743,313	I	See Footnote and Remarks below. ⁽⁶⁾

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 II LLC 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES, CA 90067		X		
RMCP DPC LLC 10100 SANTA MONICA BOULEVARD, SUITE 925 SANTA MONICA, 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) 12/16/2016
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) These shares of Common Stock were purchased by Red Mountain Capital Partners LLC ("RMCP") on the open market. The price reported in Column 4 is a weighted average per share purchase price. These shares were purchased in multiple transactions at prices ranging from \$3.43 to \$3.60, inclusive. Each of RMCP 2,525,052 of these shares are held directly by DPC PIV and the remaining shares are held directly by RMCP LLC.
- (2) These shares of Common Stock were purchased by RMCP on the open market. The price reported in Column 4 is a weighted average per share purchase price. These shares were purchased in multiple transactions at prices ranging from \$3.38 to \$3.55, inclusive. Each of DPC PIV, DPC, RMCP GP, RMCP LLC, RMCP 2,525,052 of these shares are held directly by DPC PIV and the remaining shares are held directly by RMCP LLC.
- (3) These shares of Common Stock were purchased by RMCP on the open market. The price reported in Column 4 is a weighted average per share purchase price. These shares were purchased in multiple transactions at prices ranging from \$3.26 to \$3.41, inclusive. Each of DPC PIV, DPC, RMCP GP, RMCP LLC, RMCP 2,525,052 of these shares are held directly by DPC PIV and the remaining shares are held directly by RMCP LLC.
- (4) These shares of Common Stock were purchased by RMCP on the open market. The price reported in Column 4 is a weighted average per share purchase price. These shares were purchased in multiple transactions at prices ranging from \$3.26 to \$3.41, inclusive. Each of DPC PIV, DPC, RMCP GP, RMCP LLC, RMCP 2,525,052 of these shares are held directly by DPC PIV and the remaining shares are held directly by RMCP LLC.
- (5) 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.
- (6) These shares are held directly by RMCP PIV DPC II, L.P. ("DPC PIV II").

Remarks:
 This Form 4 is jointly filed by (i) DPC PIV, (ii) DPC PIV II, (iii) DPC, (iv) RMCP DPC II LLC ("DPC II"), (v) RMCP GP, (vi) RMCP, (vii) RMCP and (viii) Mr. Mesdag. DPC is the general partner of DPC PIV. DPC II is the general partner of DPC PIV II. RMCP GP is the

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.

<SEC-DOCUMENT-0001209191-16-155698-index.html : 20161216
<ACCEPTANCE-DATETIME:20161216170941
ACCESSION NUMBER: 0001209191-16-155698
CONFIRMED SUBMISSION TYPE: 4
PUBLIC DOCUMENT COUNT: 1
CONFORMED PERIOD OF REPORT: 20161214
FILED AS OF DATE: 20161216
DATE AS OF CHANGE: 20161216

REPORTING-OWNER:

OWNER DATA:
COMPANY CONFORMED NAME: RMCP DPC LLC
CENTRAL INDEX KEY: 0001688393
STATE OF INCORPORATION: DE
FISCAL YEAR END: 1231

FILING VALUES:
FORM TYPE: 4
SEC ACT: 1934 Act
SEC FILE NUMBER: 001-37932
FILM NUMBER: 162057074

BUSINESS ADDRESS:
STREET 1: 10100 SANTA MONICA BOULEVARD
STREET 2: SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067
BUSINESS PHONE: (310)432-0200

MAIL ADDRESS:
STREET 1: 10100 SANTA MONICA BOULEVARD
STREET 2: SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067

REPORTING-OWNER:

OWNER DATA:
COMPANY CONFORMED NAME: RMCP DPC II LLC
CENTRAL INDEX KEY: 0001688392
STATE OF INCORPORATION: DE
FISCAL YEAR END: 1231

FILING VALUES:
FORM TYPE: 4
SEC ACT: 1934 Act
SEC FILE NUMBER: 001-37932
FILM NUMBER: 162057075

BUSINESS ADDRESS:
STREET 1: 10100 SANTA MONICA BOULEVARD
STREET 2: SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067
BUSINESS PHONE: (310)432-0200

MAIL ADDRESS:
STREET 1: 10100 SANTA MONICA BOULEVARD
STREET 2: SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067

REPORTING-OWNER:

OWNER DATA:
COMPANY CONFORMED NAME: RMCP PIV DPC II, L.P.
CENTRAL INDEX KEY: 0001688394
STATE OF INCORPORATION: DE
FISCAL YEAR END: 1231

FILING VALUES:
FORM TYPE: 4
SEC ACT: 1934 Act
SEC FILE NUMBER: 001-37932
FILM NUMBER: 162057077

BUSINESS ADDRESS:
STREET 1: 10100 SANTA MONICA BOULEVARD
STREET 2: SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067
BUSINESS PHONE: (310)432-0200

MAIL ADDRESS:
STREET 1: 10100 SANTA MONICA BOULEVARD
STREET 2: SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067

REPORTING-OWNER:

OWNER DATA:
COMPANY CONFORMED NAME: RMCP PIV DPC, L.P.
CENTRAL INDEX KEY: 0001688395
STATE OF INCORPORATION: DE
FISCAL YEAR END: 1231

FILING VALUES:
FORM TYPE: 4
SEC ACT: 1934 Act
SEC FILE NUMBER: 001-37932
FILM NUMBER: 162057078

BUSINESS ADDRESS:
STREET 1: 10100 SANTA MONICA BOULEVARD
STREET 2: SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067
BUSINESS PHONE: (310)432-0200

MAIL ADDRESS:
STREET 1: 10100 SANTA MONICA BOULEVARD
STREET 2: SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067

REPORTING-OWNER:

OWNER DATA:
COMPANY CONFORMED NAME: RED MOUNTAIN CAPITAL PARTNERS LLC
CENTRAL INDEX KEY: 0001374588
STATE OF INCORPORATION: DE
FISCAL YEAR END: 1231

FILING VALUES:
FORM TYPE: 4
SEC ACT: 1934 Act
SEC FILE NUMBER: 001-37932
FILM NUMBER: 162057081

BUSINESS ADDRESS:
STREET 1: 10100 SANTA MONICA BOULEVARD
STREET 2: SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067
BUSINESS PHONE: (310) 432-0207

STREET 2: SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067

REPORTING-OWNER:

OWNER DATA:
COMPANY CONFORMED NAME: MESDAG WILLEM
CENTRAL INDEX KEY: 0001374566

FILING VALUES:
FORM TYPE: 4
SEC ACT: 1934 Act
SEC FILE NUMBER: 001-37932
FILM NUMBER: 162057082

MAIL ADDRESS:
STREET 1: C/O RED MOUNTAIN CAPITAL MANAGEMENT INC.
STREET 2: 10100 SANTA MONICA BOULEVARD, SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067

REPORTING-OWNER:

OWNER DATA:
COMPANY CONFORMED NAME: RMCP GP LLC
CENTRAL INDEX KEY: 0001374606
STATE OF INCORPORATION: DE
FISCAL YEAR END: 1231

FILING VALUES:
FORM TYPE: 4
SEC ACT: 1934 Act
SEC FILE NUMBER: 001-37932
FILM NUMBER: 162057076

BUSINESS ADDRESS:
STREET 1: 10100 SANTA MONICA BOULEVARD, SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067
BUSINESS PHONE: (310)432-0200

MAIL ADDRESS:
STREET 1: 10100 SANTA MONICA BOULEVARD, SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067

ISSUER:

COMPANY DATA:
COMPANY CONFORMED NAME: Yuma Energy, Inc.
CENTRAL INDEX KEY: 0001672326
STANDARD INDUSTRIAL CLASSIFICATION: CRUDE PETROLEUM & NATURAL GAS [1311]
IRS NUMBER: 812235304
STATE OF INCORPORATION: DE
FISCAL YEAR END: 1231

BUSINESS ADDRESS:
STREET 1: 1177 WEST LOOP SOUTH
STREET 2: SUITE 1825
CITY: HOUSTON
STATE: TX
ZIP: 77027
BUSINESS PHONE: 713-968-7000

MAIL ADDRESS:
STREET 1: 1177 WEST LOOP SOUTH
STREET 2: SUITE 1825
CITY: HOUSTON
STATE: TX
ZIP: 77027

FORMER COMPANY:
FORMER CONFORMED NAME: Yuma Delaware Merger Subsidiary, Inc.
DATE OF NAME CHANGE: 20160415

REPORTING-OWNER:

OWNER DATA:
COMPANY CONFORMED NAME: RED MOUNTAIN CAPITAL MANAGEMENT INC
CENTRAL INDEX KEY: 0001374607
STATE OF INCORPORATION: DE
FISCAL YEAR END: 1231

FILING VALUES:
FORM TYPE: 4
SEC ACT: 1934 Act
SEC FILE NUMBER: 001-37932
FILM NUMBER: 162057080

BUSINESS ADDRESS:
STREET 1: 10100 SANTA MONICA BOULEVARD, SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067
BUSINESS PHONE: (310) 432-0207

MAIL ADDRESS:
STREET 1: 10100 SANTA MONICA BOULEVARD, SUITE 925
CITY: LOS ANGELES
STATE: CA
ZIP: 90067

</SEC-HEADER>
<DOCUMENT>
<TYPE=4
<SEQUENCE=1
<FILENAME=doc4.xml
<DESCRIPTION=FORM 4 SUBMISSION
<TEXT>

[Document 1 - file: doc4.html](#)

[Document 1 - RAW XML: doc4.xml](#)

</DOCUMENT>
</SEC-DOCUMENT>

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 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person: MESDAG WILLEM (Last) (First) (Middle) 10100 SANTA MONICA BOULEVARD, SUITE 925, (Street) LOS ANGELES, CA 90067 (City) (State) (Zip)	2. Issuer Name and Ticker or Trading Symbol Yuma Energy, Inc. [YUMA] 3. Date of Earliest Transaction (Month/Day/Year) 12/14/2016 4. If Amendment, Date Original Filed (Month/Day/Year)	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer (give title below) _____ Other (specify below) _____ 6. Individual or Joint/Group Filing (Check Applicable Line) Form filed by One Reporting Person <input checked="" type="checkbox"/> Form filed by More than One Reporting Person <input type="checkbox"/>
--	--	---

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	(A) or (D)	Price			
Common Stock	12/14/2016		P		13,070	A	\$ 3.5151 ⁽¹⁾	2,538,122	I	See Footnote and Remarks below. ⁽²⁾
Common Stock	12/15/2016		P		10,630	A	\$ 3.4246 ⁽³⁾	2,548,752	I	See Footnote and Remarks below. ⁽²⁾
Common Stock	12/16/2016		P		8,100	A	\$ 3.3864 ⁽⁴⁾	2,556,852	I	See Footnote and Remarks below. ⁽²⁾

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 Securities (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Series D Convertible Preferred Stock	\$ 11.074										Common Stock	1,743,313	1,743,313	I	See Footnote and Remarks below. ⁽⁶⁾

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 II LLC 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES, CA 90067		X		
RMCP DPC LLC 10100 SANTA MONICA BOULEVARD, SUITE 925 SANTA MONICA, 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) 12/16/2016
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) These shares of Common Stock were purchased by Red Mountain Capital Partners LLC ("RMCP") on the open market. The price reported in Column 4 is a weighted average per share purchase price. These shares were purchased in multiple transactions at prices ranging from \$3.43 to \$3.60, inclusive. Each of RMCP 2,525,052 of these shares are held directly by DPC PIV and the remaining shares are held directly by RMCP LLC.
- (2) These shares of Common Stock were purchased by RMCP on the open market. The price reported in Column 4 is a weighted average per share purchase price. These shares were purchased in multiple transactions at prices ranging from \$3.38 to \$3.55, inclusive. Each of DPC PIV, DPC, RMCP GP, RMCP LLC, RMCP 2,525,052 of these shares are held directly by DPC PIV and the remaining shares are held directly by RMCP LLC.
- (3) These shares of Common Stock were purchased by RMCP on the open market. The price reported in Column 4 is a weighted average per share purchase price. These shares were purchased in multiple transactions at prices ranging from \$3.26 to \$3.41, inclusive. Each of DPC PIV, DPC, RMCP GP, RMCP LLC, RMCP 2,525,052 of these shares are held directly by DPC PIV and the remaining shares are held directly by RMCP LLC.
- (4) These shares of Common Stock were purchased by RMCP on the open market. The price reported in Column 4 is a weighted average per share purchase price. These shares were purchased in multiple transactions at prices ranging from \$3.26 to \$3.41, inclusive. Each of DPC PIV, DPC, RMCP GP, RMCP LLC, RMCP 2,525,052 of these shares are held directly by DPC PIV and the remaining shares are held directly by RMCP LLC.
- (5) 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.
- (6) These shares are held directly by RMCP PIV DPC II, L.P. ("DPC PIV II").

Remarks:
 This Form 4 is jointly filed by (i) DPC PIV, (ii) DPC PIV II, (iii) DPC, (iv) RMCP DPC II LLC ("DPC II"), (v) RMCP GP, (vi) RMCP, (vii) RMCM and (viii) Mr. Mesdag. DPC is the general partner of DPC PIV. DPC II is the general partner of DPC PIV II. RMCP GP is the

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.