

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 Jacobs James J <small>(Last) (First) (Middle)</small> 1177 WEST LOOP SOUTH, SUITE 1825 <small>(Street)</small> HOUSTON, TX 77027 <small>(City) (State) (Zip)</small>		2. Date of Event Requiring Statement (Month/Day/Year) 10/26/2016	3. Issuer Name and Ticker or Trading Symbol Yuma Energy, Inc. [YUMA]	
		4. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer (give title below) <input type="checkbox"/> Other (specify below) Chief Financial Officer		
		5. If Amendment, Date Original Filed(Month/Day/Year)		
		6. Individual or Joint/Group Filing(Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> 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	28,570 (1) (2)	D	

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			
Stock Appreciation Rights	(3)	08/22/2018	Common Stock	13,416	\$ 12.1 (4)	D	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Jacobs James J 1177 WEST LOOP SOUTH, SUITE 1825 HOUSTON, TX 77027			Chief Financial Officer	

Signatures

/s/ James J. Jacobs	11/07/2016
<small>Signature of Reporting Person</small>	<small>Date</small>

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) Reflects the undersigned's beneficial ownership of shares of common stock of the Issuer after the reincorporation of Yuma Energy, Inc., a California corporation, to Delaware and the 1-for-20 reverse stock split.
- (2) Includes shares from restricted stock awards after accounting for the reincorporation and the 1-for-20 reverse stock split that vest as to 707 shares on January 1, 2017, 5,461 shares on May 31, 2017, and 5,461 shares on May 31, 2018.
- (3) The stock appreciation right award reflects the reincorporation and the 1-for-20 reverse stock split, and vested as to 4,472 SARs on May 31, 2016, and vests as to 4,472 SARs on May 31, 2017, and as to 4,472 SARs on May 31, 2018.
- (4) Reflects accounting for reincorporation and 1-for-20 reverse stock split.

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.

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 Jacobs James J <small>(Last) (First) (Middle)</small> 1177 WEST LOOP SOUTH, SUITE 1825 <small>(Street)</small> HOUSTON, TX 77027 <small>(City) (State) (Zip)</small>		2. Date of Event Requiring Statement (Month/Day/Year) 10/26/2016	3. Issuer Name and Ticker or Trading Symbol Yuma Energy, Inc. [YUMA]	
		4. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer (give title below) <input type="checkbox"/> Other (specify below) Chief Financial Officer		
		5. If Amendment, Date Original Filed(Month/Day/Year)		
		6. Individual or Joint/Group Filing(Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> 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	28,570 (1) (2)	D	

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			
Stock Appreciation Rights	(3)	08/22/2018	Common Stock	13,416	\$ 12.1 (4)	D	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Jacobs James J 1177 WEST LOOP SOUTH, SUITE 1825 HOUSTON, TX 77027			Chief Financial Officer	

Signatures

/s/ James J. Jacobs 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) Reflects the undersigned's beneficial ownership of shares of common stock of the Issuer after the reincorporation of Yuma Energy, Inc., a California corporation, to Delaware and the 1-for-20 reverse stock split.
- (2) Includes shares from restricted stock awards after accounting for the reincorporation and the 1-for-20 reverse stock split that vest as to 707 shares on January 1, 2017, 5,461 shares on May 31, 2017, and 5,461 shares on May 31, 2018.
- (3) The stock appreciation right award reflects the reincorporation and the 1-for-20 reverse stock split, and vested as to 4,472 SARs on May 31, 2016, and vests as to 4,472 SARs on May 31, 2017, and as to 4,472 SARs on May 31, 2018.
- (4) Reflects accounting for reincorporation and 1-for-20 reverse stock split.

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.