

# 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 Lodzinski Frank Alan <small>(Last) (First) (Middle)</small> 1400 WOODLOCH FOREST DRIVE, SUITE 300 <small>(Street)</small> THE WOODLANDS, TX 77380 <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 checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input type="checkbox"/> Officer (give title below) <input type="checkbox"/> Other (specify below)		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	21,434 (1) (2)	D	
Common Stock	3,117	I	By Azure Energy, LLC (3)

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			

**Reporting Owners**

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Lodzinski Frank Alan 1400 WOODLOCH FOREST DRIVE SUITE 300 THE WOODLANDS, TX 77380	X			

**Signatures**

/s/ Frank A. Lodzinski   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 Registrant after the reincorporation of Yuma Energy, Inc., a California corporation, to Delaware and the 1-for-20 reverse stock split.
- (2) Includes shares from a restricted stock award after accounting for the reincorporation and the 1-for-20 reverse stock split that vests as to 2,627 shares on January 1, 2017.
- (3) The Reporting Person disclaims beneficial ownership of any shares of the Registrant's common stock held by Azure Energy, LLC, except to the extent of his pecuniary interest therein.

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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Lodzinski Frank Alan 1400 WOODLOCH FOREST DRIVE SUITE 300 THE WOODLANDS, TX 77380	X			

**Signatures**

/s/ Frank A. Lodzinski	11/07/2016
<small>Signature of Reporting Person</small>	<small>Date</small>

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