

# SECURITIES & EXCHANGE COMMISSION EDGAR FILING

## Yuma Energy, Inc.

**Form: 4**

**Date Filed: 2016-11-23**

Corporate Issuer CIK: 1672326

**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

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person <b>Lodzinski Frank Alan</b>		2. Issuer Name and Ticker or Trading Symbol <b>Yuma Energy, Inc. [YUMA]</b>		5. 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)	
(Last) (First) (Middle) <b>1400 WOODLOCH FOREST DRIVE, SUITE 300</b>		3. Date of Earliest Transaction (Month/Day/Year) <b>11/21/2016</b>			
(Street) <b>THE WOODLANDS, TX 77380</b>		4. 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	
(City) (State) (Zip)		<b>Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned</b>			

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	11/21/2016		J(1)		18,807	D	\$ 0	2,627 (2)	D	
Common Stock	11/21/2016		J(1)		18,807	A	\$ 0	21,923	I	By Azure Energy, LLC (3)

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 of Derivative Security: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V		(A)	(D)					

**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 11/23/2016  
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) Represents a transfer from the Reporting Person to Azure Energy, LLC. The Reporting Person exercises voting and investment control over the securities held by Azure Energy, LLC.
- (2) Includes shares from a restricted stock award 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.

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CONFORMED SUBMISSION TYPE: 4  
PUBLIC DOCUMENT COUNT: 1  
CONFORMED PERIOD OF REPORT: 20161121  
FILED AS OF DATE: 20161123  
DATE AS OF CHANGE: 20161123

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: Lodzinski Frank Alan  
CENTRAL INDEX KEY: 0001397150

FILING VALUES:  
FORM TYPE: 4  
SEC ACT: 1934 Act  
SEC FILE NUMBER: 001-37932  
FILM NUMBER: 162016864

MAIL ADDRESS:  
STREET 1: 1400 WOODLOCH FOREST DRIVE  
STREET 2: SUITE 300  
CITY: THE WOODLANDS  
STATE: TX  
ZIP: 77380

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[Document 1 - RAW XML: issuerdirect\\_section16.xml](#)

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