

RMCP GP LLC

Form 3

November 07, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF
SECURITIES**Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting
Person *

Â MESDAG WILLEM

(Last) (First) (Middle)

10100 SANTA MONICA
BOULEVARD, SUITE 925,Â

(Street)

LOS ANGELES,Â CAÂ 90067

(City) (State) (Zip)

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 Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☒ 10% Owner
☐ Officer ☐ Other
(give title below) (specify below)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)Reminder: Report on a separate line for each class of securities beneficially
owned directly or indirectly.

SEC 1473 (7-02)

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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
Derivative5. Ownership
Form of
Derivative
Security:6. Nature of Indirect
Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Series D Convertible Preferred Stock	Â (2)	Â (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,Â CAÂ 90067	Â	Â X	Â	Â
RED MOUNTAIN CAPITAL PARTNERS LLC 10100 SANTA MONICA BOULEVARD SUITE 925 LOS ANGELES,Â CAÂ 90067	Â	Â X	Â	Â
RED MOUNTAIN CAPITAL MANAGEMENT INC 10100 SANTA MONICA BOULEVARD SUITE 925 LOS ANGELES,Â CAÂ 90067	Â	Â X	Â	Â
RMCP GP LLC 10100 SANTA MONICA BOULEVARD SUITE 925 LOS ANGELES,Â CAÂ 90067	Â	Â X	Â	Â
RMCP DPC LLC 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES,Â CAÂ 90067	Â	Â X	Â	Â
RMCP DPC II LLC 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES,Â CAÂ 90067	Â	Â X	Â	Â
RMCP PIV DPC, L.P. 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES,Â CAÂ 90067	Â	Â X	Â	Â
RMCP PIV DPC II, L.P. 10100 SANTA MONICA BOULEVARD, SUITE 925 LOS ANGELES,Â CAÂ 90067	Â	Â X	Â	Â

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").

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Remarks:

This Form 3 is jointly filed by (i) DPC PIV, (ii) DPC PIV II, (iii) RMCP DPC LLC ("DPC"),

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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