

Yuma Energy, Inc.
Form 3
December 28, 2015

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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 Jacobs James J
(Last) (First) (Middle)

1177 WEST LOOP
SOUTH,Â SUITE 1825

(Street)

HOUSTON,Â TXÂ 77027

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)
12/15/2015

3. Issuer Name **and** Ticker or Trading Symbol
Yuma Energy, Inc. [YUMA]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
Chief Financial Officer

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

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 ⁽¹⁾

456,371

D Â

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

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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)
Title

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Amount or Number of Shares	or Indirect (I) (Instr. 5)
Stock Appreciation Right	Â (2)	08/18/2022	Common Stock	268,305 \$ 0.605 D Â

Reporting Owners

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

Signatures

/s/ James J.
Jacobs
12/28/2015
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).
- 385,711 shares of the registrant's common stock represent unvested restricted stock awards that vest as follows: 14,137 shares vest on
- (1) January 1, 2016, 109,217 shares vest on May 31, 2016, 29,789 shares vest on July 14, 2016, 14,136 shares vest on January 1, 2017, 109,216 shares vest on May 31, 2017, and 109,216 shares vest on May 31, 2018.
 - (2) The stock appreciation right award vests in three equal annual installments beginning on May 31, 2016.

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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