

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 \_\_\_\_X\_\_\_\_ 10% Owner  
\_\_\_\_ Officer \_\_\_\_ Other  
(give title below) (specify below)6. Individual or Joint/Group  
Filing(Check Applicable Line)  
\_\_\_\_ Form filed by One Reporting  
Person  
\_X\_ 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)

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

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|                                         | Date<br>Exercisable | Expiration<br>Date | Title           | Amount or<br>Number of<br>Shares | Security  | Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) |                                           |
|-----------------------------------------|---------------------|--------------------|-----------------|----------------------------------|-----------|------------------------------------------------|-------------------------------------------|
| Series D Convertible<br>Preferred Stock | Â (2)               | Â (2)              | Common<br>Stock | 1,743,313                        | \$ 11.074 | I                                              | See Footnote and<br>Remarks below.<br>(3) |

## Reporting Owners

| Reporting Owner Name / Address                                                                              | Relationships |           |         |       |
|-------------------------------------------------------------------------------------------------------------|---------------|-----------|---------|-------|
|                                                                                                             | Director      | 10% Owner | Officer | Other |
| MESDAG WILLEM<br>10100 SANTA MONICA BOULEVARD, SUITE 925<br>LOS ANGELES,Â CAÂ 90067                         | Â             | Â X       | Â       | Â     |
| RED MOUNTAIN CAPITAL PARTNERS LLC<br>10100 SANTA MONICA BOULEVARD<br>SUITE 925<br>LOS ANGELES,Â CAÂ 90067   | Â             | Â X       | Â       | Â     |
| RED MOUNTAIN CAPITAL MANAGEMENT INC<br>10100 SANTA MONICA BOULEVARD<br>SUITE 925<br>LOS ANGELES,Â CAÂ 90067 | Â             | Â X       | Â       | Â     |
| RMCP GP LLC<br>10100 SANTA MONICA BOULEVARD<br>SUITE 925<br>LOS ANGELES,Â CAÂ 90067                         | Â             | Â X       | Â       | Â     |
| RMCP DPC LLC<br>10100 SANTA MONICA BOULEVARD, SUITE 925<br>LOS ANGELES,Â CAÂ 90067                          | Â             | Â X       | Â       | Â     |
| RMCP DPC II LLC<br>10100 SANTA MONICA BOULEVARD, SUITE 925<br>LOS ANGELES,Â CAÂ 90067                       | Â             | Â X       | Â       | Â     |
| RMCP PIV DPC, L.P.<br>10100 SANTA MONICA BOULEVARD, SUITE 925<br>LOS ANGELES,Â CAÂ 90067                    | Â             | Â X       | Â       | Â     |
| RMCP PIV DPC II, L.P.<br>10100 SANTA MONICA BOULEVARD, SUITE 925<br>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.

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.