

RMCP GP LLC  
 Form 3  
 November 07, 2016

**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 * |         | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol                                     |  |
| Â MESDAG WILLEM                           |         | (Month/Day/Year)                     | Yuma Energy, Inc. [YUMA]  |  |
| (Last)                                    | (First) | (Middle)                             | 10/26/2016  |  |
| 10100 SANTA MONICA BOULEVARD, SUITE 925,Â |         |                                      | 4. Relationship of Reporting Person(s) to Issuer                                | 5. If Amendment, Date Original Filed(Month/Day/Year)                             |
| (Street)                                  |         |                                      | (Check all applicable)  |  |
| LOS ANGELES,Â CAÂ 90067                   |         |                                      | <input type="checkbox"/> Director <input checked="" type="checkbox"/> 10% Owner | 6. Individual or Joint/Group Filing(Check Applicable Line)                       |
| (City)                                    | (State) | (Zip)                                | <input type="checkbox"/> Officer <input type="checkbox"/> Other                 | <input type="checkbox"/> Form filed by One Reporting Person                      |
|   |         |                                      | (give title below) (specify below)  | <input checked="" 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                    | 2,525,052   | I  | See Footnote and Remarks below.<br><u>(1)</u>         |

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) | 4. Conversion or Exercise Price of Derivative | 5. 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<br>10100 SANTA MONICA BOULEVARD, SUITE 925<br>LOS ANGELES, CA 90067                         | Â             | Â X       | Â       | Â     |
| RED MOUNTAIN CAPITAL PARTNERS LLC<br>10100 SANTA MONICA BOULEVARD<br>SUITE 925<br>LOS ANGELES, CA 90067   | Â             | Â X       | Â       | Â     |
| RED MOUNTAIN CAPITAL MANAGEMENT INC<br>10100 SANTA MONICA BOULEVARD<br>SUITE 925<br>LOS ANGELES, CA 90067 | Â             | Â X       | Â       | Â     |
| RMCP GP LLC<br>10100 SANTA MONICA BOULEVARD<br>SUITE 925<br>LOS ANGELES, CA 90067                         | Â             | Â X       | Â       | Â     |
| RMCP DPC LLC<br>10100 SANTA MONICA BOULEVARD, SUITE 925<br>LOS ANGELES, CA 90067                          | Â             | Â X       | Â       | Â     |
| RMCP DPC II LLC<br>10100 SANTA MONICA BOULEVARD, SUITE 925<br>LOS ANGELES, CA 90067                       | Â             | Â X       | Â       | Â     |
| RMCP PIV DPC, L.P.<br>10100 SANTA MONICA BOULEVARD, SUITE 925<br>LOS ANGELES, CA 90067                    | Â             | Â X       | Â       | Â     |
| RMCP PIV DPC II, L.P.<br>10100 SANTA MONICA BOULEVARD, SUITE 925<br>LOS ANGELES, CA 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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