Edgar Filing: EVOLUTION PETROLEUM CORP - Form 4

| Form 4 | N PETROLEU | M CORP | | | | | | | | | |
|--|--|---|---|-------------|------------------------|---|---|---|-----------------|---------------------|--|
| February 12, 2016 FORM 4 UNITED STATES SECURITIES AN Washington, | | | | | | | | | | PROVAL 3235-0287 | |
| Check thi if no long subject to Section 1 Form 4 o Form 5 obligation may cont <i>See</i> Instru 1(b). | 6. r Filed pu inue. | STATEMENT OF CHANGES IN 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 20(h) of the Interstructure Act of 1940 | | | | | | | | | |
| (Print or Type F | Responses) | | | | | | | | | | |
| 1. Name and Address of Reporting Person <u>*</u> Joe David | | | 2. Issuer Name and Ticker or Trading Symbol EVOLUTION PETROLEUM CORP [EPM] | | | | | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | |
| (Last) (First) (Middle) 2500 CITY WEST BLVD., SUITE 1300 | | | 3. Date of Earliest Transaction (Month/Day/Year) 02/10/2016 | | | | Director 10% Owner Officer (give title Other (specify below) below) SVP & CFO | | | | |
| HOUSTON | 4. If Amendment, Date Original Filed(Month/Day/Year) | | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person | | | | | |
| (City) | (State) | (Zip) | Tabl | e I - Non-D | erivative S | ecuri | ties Acq | uired, Disposed of | , or Beneficial | ly Owned | |
| 1.Title of Security (Instr. 3) | 2. Transaction Da (Month/Day/Yea | r) Execution any | Deemed 3. 4. Securities Acquired 5. Amount of tution Date, if Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) Beneficially th/Day/Year) (Instr. 8) Owned Following (A) Reported Transaction(s) | | | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | | | | | |
| Common Stock | 02/10/2016 | | | Code V S | Amount 9,000 (1) | or (D) D | Price \$ 4.46 | (Instr. 3 and 4) 345,247 | D | | |
| Common Stock | 02/11/2016 | | | S | 3,000 (1) | D | \$ 4.35 | 342,247 | D | | |
| Common Stock | 02/12/2016 | | | S | 12,200 (1) | D | \$ 4.48 | 330,047 | D | | |

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 formSEC 1474
(9-02)

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displays a currently valid OMB control number.

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) | 4. Transacti Code (Instr. 8) | 5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | Date | 7. Titl Amou Under Secur (Instr. | ınt of rlying | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr |
|---|---|---|---------------------------------------|---|---------------------|--------------------|--|--|---|--|
| | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

Reporting Owners

| Reporting Owner Name / Address | | Relationships | | | | | | |
|---|----------|---------------|---------|-------|--|--|--|--|
| | Director | 10% Owner | Officer | Other | | | | |
| Joe David 2500 CITY WEST BLVD., SUITE 1 HOUSTON, TX 77042 | 300 | SVP & CFO | | | | | | |
| Signatures | | | | | | | | |
| /s/ David Joe 02/12/20 | 016 | | | | | | | |

/s/ David Joe <u>**</u>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) These sales were made to satisfy a margin call by a broker to whom these shares were pledged as collateral for a margin loan.

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.