

EVOLUTION PETROLEUM CORP

Form 3

January 10, 2014

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 *

Joe David

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

01/01/2014

3. Issuer Name **and** Ticker or Trading Symbol

EVOLUTION PETROLEUM CORP [EPM]

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)

VP, Chief Admin. Officer

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting Person2500 CITYWEST
BOULEVARD, SUITE 1300

(Street)

HOUSTON, TX 77042

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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

83,358 ⁽¹⁾

D

A

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)

Title

4. Conversion
or Exercise
Price of
Derivative
Security5. 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)	
Employee Stock Option (right to buy)	Â (2)	04/04/2015	Common Stock	100,000	\$ 1.8	D	Â
Employee Stock Option (right to buy)	Â (3)	08/08/2015	Common Stock	100,000	\$ 1.36	D	Â
Employee Stock Option (right to buy)	Â (4)	05/05/2016	Common Stock	30,000	\$ 2.55	D	Â
Employee Stock Option (right to buy)	Â (5)	09/07/2017	Common Stock	50,000	\$ 2.19	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
Joe David 2500 CITYWEST BOULEVARD, SUITE 1300 HOUSTON, TX 77042	Â	Â	Â VP, Chief Admin. Officer		Â

Signatures

/s/ David Joe 01/10/2014

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) Represents shares granted under Company's 2004 Amended and Restated Stock Plan, as amended.
- (2) This option is now fully exercisable. The first installment became exercisable on 10/4/2005 and vested ratably every three months thereafter until fully vested.
- (3) This option is now fully exercisable. The first installment became exercisable on 11/8/2005 and vested ratably every three months thereafter until fully vested.
- (4) This option is now fully exercisable. The first installment became exercisable on 8/5/2006 and vested ratably every three months thereafter until fully vested.
- (5) This option is now fully exercisable. The first installment became exercisable on 3/7/2008 and vested ratably every three months thereafter until fully vested.

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.