

Raymond Robert Joseph
Form 3
May 17, 2018

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated 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 *

Raymond Robert Joseph
(Last) (First) (Middle)

1700 LINCOLN STREET,
SUITE 2800

(Street)

DENVER, CO 80203

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)
05/15/2018

3. Issuer Name and Ticker or Trading Symbol
Resolute Energy Corp [REN]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

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

456,556 ⁽¹⁾

I

By RR Advisors, LLC d/b/a RCH Energy

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 Derivative

5. Ownership Form of Derivative Security:

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

Edgar Filing: Raymond Robert Joseph - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Short Put Position (Obligation to Buy)	Â (2)	Â (2)	Common Stock	100,000 (2)	\$ 30	I (1)	By RR Advisors, LLC d/b/a RCH Energy
Short Call Position (Obligation to Sell)	Â (3)	Â (3)	Common Stock	300,000 (3)	\$ 47	I (1)	By RR Advisors, LLC d/b/a RCH Energy

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Raymond Robert Joseph 1700 LINCOLN STREET, SUITE 2800 DENVER,Â COÂ 80203	Â X	Â	Â	Â

Signatures

/s/ Robert J
Raymond

05/17/2018

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).

These securities are owned by RR Advisors, LLC d/b/a RCH Energy, or affiliated funds controlled by RCH Energy, over which the

- (1) Reporting Person has shared voting and dispositive power as the sole member of RCH Energy. Certain of these shares are held in a margin account.
- (2) RCH Energy is party to written put contracts obligating it to buy 100,000 shares of Issuer's common stock, exercisable at \$30 per share, to the holder of the put option, on, or under certain circumstances, before, September 2018.
- (3) RCH Energy is party to written call contracts obligating it to sell 300,000 shares of Issuer's common stock, exercisable at \$47 per share, to the holder of the call option, on, or under certain circumstances, before, September 2018.

Â

Remarks:

ExhibitÂ List:Â ExhibitÂ 24Â -Â PowerÂ ofÂ Attorney

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.