

SARATOGA RESOURCES INC /TX

Form 3

November 29, 2013

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104

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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 \*

Ebert John C

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

11/18/2013

3. Issuer Name and Ticker or Trading Symbol

SARATOGA RESOURCES INC /TX [SARA]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original Filed(Month/Day/Year)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

VP - Finance and Bus. Dev.

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person☐ Form filed by More than One Reporting Person

3 RIVERWAY, SUITE 1810

(Street)

HOUSTON, TX 77056

(City)

(State)

(Zip)

**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)

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)

Date Exercisable Expiration Date

3. Title and Amount of Securities Underlying Derivative Security  
(Instr. 4)

Title

Amount or Number of Shares

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:  
Direct (D)  
or Indirect (I)  
(Instr. 5)6. Nature of Indirect Beneficial Ownership  
(Instr. 5)

|                             |                           |            |              |        |         |   |   |
|-----------------------------|---------------------------|------------|--------------|--------|---------|---|---|
| Stock Option (Right to Buy) | 08/12/2013 <sup>(1)</sup> | 08/12/2020 | Common Stock | 90,000 | \$ 1.72 | D | Â |
|-----------------------------|---------------------------|------------|--------------|--------|---------|---|---|

## Reporting Owners

| Reporting Owner Name / Address                                | Relationships |           |                              |       |
|---------------------------------------------------------------|---------------|-----------|------------------------------|-------|
|                                                               | Director      | 10% Owner | Officer                      | Other |
| Ebert John C<br>3 RIVERWAY<br>SUITE 1810<br>HOUSTON, TX 77056 | Â             | Â         | Â VP - Finance and Bus. Dev. | Â     |

## Signatures

|            |            |
|------------|------------|
| John Ebert | 11/29/2013 |
|------------|------------|

\*\*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) Option vests and becomes exercisable as to 30,000 shares on each of August 12, 2014, 2015 and 2016.

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.