

GRAN TIERRA ENERGY INC.

Form 3

July 01, 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 *

A Caldwell Ed

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

06/24/2016

3. Issuer Name and Ticker or Trading Symbol

GRAN TIERRA ENERGY INC. [GTE]

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)

See Remarks

6. Individual or Joint/Group

Filing(Check Applicable Line)

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

C/O GRAN TIERRA ENERGY INC., 200, 150-13 AVENUE SW

(Street)

CALGARY, A0 A T2R 0V2

(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)

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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)

Date Exercisable

Expiration Date

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

Title

Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security: Direct (D)

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

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				Shares		or Indirect (I) (Instr. 5)	
Stock Options (Right to Buy)	Â (1)	09/10/2020	Common Stock	100,000	\$ 2.27	D	Â
Stock Options (Right to Buy)	Â (2)	03/01/2021	Common Stock	25,500	\$ 2.66	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Caldwell Ed C/O GRAN TIERRA ENERGY INC. 200, 150-13 AVENUE SW CALGARY,Â A0Â T2R 0V2	Â	Â	Â See Remarks	Â

Signatures

/s/ Diane Phillips,
Attorney-In Fact

07/01/2016

__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) One-third of the stock options will vest on 09/11/16, an additional one-third of the stock options will vest on 09/11/17 and the remaining one-third of the stock options will vest on 09/11/18
- (2) One-third of the stock options will vest on 03/02/17, an additional one-third of the stock options will vest on 03/02/18 and the remaining one-third of the stock options will vest on 03/02/19

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Remarks:

OfficerÂ TitleÂ -Â VPÂ Health,Â SafetyÂ andÂ EnvironmentÂ &Â Corp.Â SocialÂ Responsibility.Â ExhibitÂ List:Â Exh

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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