

CARTER HAROLD D
Form 4
May 18, 2018

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
CARTER HAROLD D

2. Issuer Name and Ticker or Trading Symbol
ABRAXAS PETROLEUM CORP
[AXAS]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
18803 MEISNER DRIVE

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
05/08/2018

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

SAN ANTONIO, TX 78258

(City) (State) (Zip)

4. 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 Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | | (A) or (D) | Price | | |
| | | | | Code | V | Amount | |
| Abraxas Petroleum Common Stock | | | | | | D | |
| Abraxas Petroleum Common Stock | | | | | 156,939 | D | |
| Abraxas Petroleum Common Stock | | | | | 42,598 | I | Retirement Account |
| Abraxas Petroleum Common Stock | | | | | 7,577 | I | HBDC |

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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474
(9-02)

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) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title Amount or Number of Shares |
| Director Stock Option | \$ 2.87 | 05/08/2018 | | A | 25,000 | 05/08/2018 05/08/2028 | Abraxas Petroleum Common Stock 25,000 |
| Director Stock Option | \$ 1.87 | | | | | 05/09/2017 05/09/2027 | Abraxas Petroleum Common Stock 25,000 |
| Director Stock Option | \$ 1.34 | | | | | 05/10/2016 <u>(1)</u> | Abraxas Petroleum Common Stock 25,000 |
| Director Stock Option | \$ 5.38 | | | | | 05/06/2014 <u>(1)</u> | Abraxas Petroleum Common Stock 12,000 |
| Director Stock Option | \$ 2.9 | | | | | 05/04/2012 <u>(1)</u> | Abraxas Petroleum Common Srock 12,000 |
| Director Stock Option | \$ 2.39 | | | | | 05/14/2003 <u>(1)</u> | Abraxas Petroleum Common Stock 12,000 |
| Director Stock Option | \$ 4.13 | | | | | 05/06/2011 <u>(1)</u> | Abraxas Common Stock 10,500 |

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| | | | | | |
|-----------------------------|---------|------------|------------|---|--------|
| Director Stock Option | \$ 2.36 | 05/20/2010 | <u>(1)</u> | Abraxas Petroleum Common Stock | 10,000 |
| Director Stock Option | \$ 4.5 | 05/21/2008 | <u>(1)</u> | Abraxas Petroleum Common Stock | 10,000 |
| Director Stock Option | \$ 4.32 | 06/26/2007 | <u>(1)</u> | Abraxas Petroleum Common Stock | 10,000 |
| Director Stock Option | \$ 4.51 | 05/25/2006 | <u>(1)</u> | Abraxas Petroleum Common Stock | 10,000 |
| Director Stock Option | \$ 2.75 | 06/01/2005 | <u>(1)</u> | Abraxas Petroleum Common Stock | 10,000 |
| Director Stock Option | \$ 3.66 | 05/05/2015 | <u>(1)</u> | Abraxas Petroleum Common Stock | 25,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| CARTER HAROLD D 18803 MEISNER DRIVE SAN ANTONIO, TX 78258 | X | | | |

Signatures

Harold D. Carter 05/18/2018

__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) Director Options granted prior to 2017 do not have an expiration date.

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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