Comstock Mining Inc.

Form 3 September 14, 2015

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

**OMB APPROVAL** 

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**SECURITIES** 

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

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 \*

(Last)

Merrill Judd

(First)

2425 CROOKED CANYON CT.

(Street)

(Middle)

Statement

(Month/Day/Year)

02/05/2015

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Comstock Mining Inc. [LODE]

4. Relationship of Reporting Person(s) to Issuer

\_X\_\_ Officer

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

(Check all applicable)

Director

10% Owner Other

(give title below) (specify below) Chief Financial Officer

6. Individual or Joint/Group

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

RENO, NVÂ 89521

(City) (State)

1. Title of Security

(Instr. 4)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities

Beneficially Owned

(Instr. 4)

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)

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

4. Conversion or Exercise

Price of

5. Ownership Form of Derivative

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

Expiration Date Exercisable Date

Title

Amount or Number of Shares

Derivative Security: Security Direct (D) or Indirect

(I) (Instr. 5)

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Restricted Stock Unit  $\underline{\text{(1)}}$   $\hat{A}$   $\underline{\text{(2)}}$   $\hat{A}$   $\underline{\text{(3)}}$  Common Stock 105,000 \$ 0 D  $\hat{A}$ 

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Merrill Judd

2425 CROOKED CANYON CT.  $\hat{A}$   $\hat{A}$   $\hat{A}$  Chief Financial Officer  $\hat{A}$ 

RENO, NVÂ 89521

## **Signatures**

/s/ Judd Merrill 09/14/2015

\*\*Signature of Date

Reporting Person

## **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) Each Restricted Stock Unit is equivalent to one share of Common Stock.
  - Comstock Mining Inc. (the "Company") granted 105,000 shares of restricted stock units to the reporting person under the Comstock Mining Inc. 2011 Equity Incentive Plan (the "Plan"), subject to vesting based upon the certification by the compensation committee of the
- (2) board of directors of the Company of the attainment of both the validation of qualified resources (at least measured and indicated) of at least 3,250,000 ounces of gold equivalent and the completion of three months of consecutive mining operations at an annual production rate of 20,000 gold equivalent ounces.
- (3) No 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. 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.

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