

Redfern Dominic  
Form 3  
May 08, 2012

# 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 \*

Â Redfern Dominic  
(Last) (First) (Middle)

C/O ALTIMA PARTNERS  
LLP,Â 23 SAVILE ROW, 6TH  
FLOOR

(Street)

LONDON, UNITED  
KINGDOM,Â X0Â W1S 2ET

(City) (State) (Zip)

2. Date of Event Requiring  
Statement

(Month/Day/Year)  
11/30/2011

3. Issuer Name **and** Ticker or Trading Symbol  
CADIZ INC [CDZI]

4. Relationship of Reporting  
Person(s) to Issuer

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

(Check all applicable)

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

6. Individual or Joint/Group  
Filing(Check Applicable Line)  
\_X\_ 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<br>(Instr. 4)       | 2. Amount of Securities<br>Beneficially Owned<br>(Instr. 4) | 3. Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial<br>Ownership<br>(Instr. 5) |
|------------------------------------------|-------------------------------------------------------------|-------------------------------------------------------------------------|-------------------------------------------------------------|
| Common Stock, par value \$0.01 per share | 746,651                                                     | I <u>(1)</u>                                                            | By Altima Global Special Opportunities Fund                 |
| Common Stock, par value \$0.01 per share | 500,000                                                     | I <u>(1)</u>                                                            | By Altima Global Special Situations Master Fund             |
| Common Stock, par value \$0.01 per share | 201,467                                                     | I <u>(1)</u>                                                            | By Altima Services UK Limited                               |

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)

## Edgar Filing: Redfern Dominic - Form 3

| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and Expiration Date<br>(Month/Day/Year) |                 | 3. Title and Amount of Securities Underlying Derivative Security<br>(Instr. 4) |                            | 4. Conversion or Exercise Price of Derivative Security | 5. Ownership Form of Derivative Security: Direct (D) or Indirect (I)<br>(Instr. 5) | 6. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|-----------------------------------------------|-------------------------------------------------------------|-----------------|--------------------------------------------------------------------------------|----------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------|----------------------------------------------------------|
|                                               | Date Exercisable                                            | Expiration Date | Title                                                                          | Amount or Number of Shares |                                                        |                                                                                    |                                                          |
| Warrant to acquire Common Stock               | 01/19/2010                                                  | 10/30/2012      | Common Stock                                                                   | 48,000                     | \$ 15                                                  | I <sup>(1)</sup>                                                                   | By Altima Global Special Opportunities Fund              |
| Warrant to acquire Common Stock               | 02/28/2012                                                  | 11/30/2014      | Common Stock                                                                   | 166,667                    | \$ 13                                                  | I <sup>(1)</sup>                                                                   | By Altima Global Special Situations Master Fund          |
| Warrant to acquire Common Stock               | 02/28/2012                                                  | 11/30/2014      | Common Stock                                                                   | 55,556                     | \$ 13                                                  | I <sup>(1)</sup>                                                                   | By Altima Services UK Limited                            |

## Reporting Owners

| Reporting Owner Name / Address                                                                               | Relationships |           |         |       |
|--------------------------------------------------------------------------------------------------------------|---------------|-----------|---------|-------|
|                                                                                                              | Director      | 10% Owner | Officer | Other |
| Redfern Dominic<br>C/O ALTIMA PARTNERS LLP<br>23 SAVILE ROW, 6TH FLOOR<br>LONDON, UNITED KINGDOM, X0 W1S 2ET | Â             | Â X       | Â       | Â     |

## Signatures

/s/ Malcolm Goddard, Attorney in Fact for Dominic Redfern

05/08/2012

\_\_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).

The reporting person disclaims beneficial ownership of these securities, except to the extent of his pecuniary interest therein, and the (1) inclusion of these shares in this report shall not be deemed an admission of beneficial ownership of all of the reported shares for purposes of Section 16 or for any other purpose.

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.