

MALVEY KENNETH P
Form 4
August 29, 2017

FORM 4

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

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

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 *
MALVEY KENNETH P

2. Issuer Name and Ticker or Trading Symbol
TORTOISE PIPELINE & ENERGY FUND, INC. [TTP]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
11550 ASH STREET, SUITE 300
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
12/01/2016

____ Director
____ Officer (give title below) 10% Owner
____ Other (specify below)
Member of Investment Committee

LEAWOOD, KS 66211

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

(City) (State) (Zip)

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V Amount (A) or (D) Price | | | |
| Common Shares | 12/01/2016 | | L | V <u>25.792</u> (1) A \$ 21.93 | 1,414.019 | D | |
| Common Shares | 12/01/2016 | | L | V <u>13.073</u> (1) A \$ 21.93 | 716.668 | I | By spouse |
| Common Shares | 03/01/2017 | | L | V <u>26.698</u> (1) A \$ 21.58 | 1,440.717 | D | |
| Common Shares | 03/01/2017 | | L | V <u>13.531</u> (1) A \$ 21.58 | 730.199 | I | By spouse |
| Common Shares | 06/01/2017 | | L | V <u>29.254</u> (1) A \$ 20.07 | 1,469.971 | D | |

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| | | | | | | | | | |
|---------------|------------|---|---|---------------|---|-------------|-------------|---|--|
| Common Shares | 06/01/2017 | L | V | 14,827 (1) | A | \$ 20.07 | 745.026 | I | By spouse |
| Common Shares | 06/01/2017 | L | V | 4,795 (1) | A | \$ 20.07 | 240.946 (2) | I | By adult child not living at home; reporting person can trade on account for adult child's benefit |

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

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.

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(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) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Beneficially Owned Following Reporting Transaction (Instr. 6) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

Reporting Owner Name / Address

MALVEY KENNETH P
11550 ASH STREET
SUITE 300
LEAWOOD, KS 66211

Relationships

Director 10% Owner Officer Other

Member of Investment Committee

Signatures

Kenneth P.
Malvey

08/29/2017

__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) Automatic reinvestment of distribution by broker not made at the Tortoise Pipeline & Energy Fund, Inc. dividend reinvestment plan price. This transaction is being voluntarily reported early on Form 4.
- (2) These shares, held by adult child no longer living at home and which had been previously disclaimed, are being reported again as the reporting person has been given power to trade on this account again for adult child's benefit.

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.