### Edgar Filing: TORTOISE PIPELINE & ENERGY FUND, INC. - Form 5

TORTOISE PIPELINE & ENERGY FUND, INC.

Form 5 January 12, 2017					
FORM 5			OMB AP	PROVAL	
	S SECURITIES AND EXCHANGE ( Washington, D.C. 20549	OMB Number: Expires:	3235-0362 January 31,		
no longer subject to Section 16.	ct				
5 obligations may continue. See Instruction					
Form 3 Holdings Section 17(a) of the	Section 16(a) of the Securities Exchang Public Utility Holding Company Act o ) of the Investment Company Act of 194	f 1935 or Section	L		
1. Name and Address of Reporting Person <u></u> GOPAL SHOBANA	2. Issuer Name <b>and</b> Ticker or Trading Symbol TORTOISE PIPELINE & ENERGY	5. Relationship of I Issuer	Reporting Personal Reporting Personal Reporting Personal Report of the second sec		
(Last) (First) (Middle) 11550 ASH STREET, SUITE 300	FUND, INC. [TTP] 3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year) 11/30/2016	Director X Officer (give t below)	10%	) Owner r (specify	
(Street)	4. If Amendment, Date Original	6. Individual or Joi	nt/Group Repo	orting	
	Filed(Month/Day/Year)	(check	applicable line)		

## LEAWOOD, KSÂ 66211

\_X\_ Form Filed by One Reporting Person \_\_\_\_ Form Filed by More than One Reporting Person

(City)	(State)	(Zip) Tab	le I - Non-Dei	rivative Sec	curitie	s Acquir	ed, Disposed of,	or Beneficiall	y 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) (A) or		of (D) 5)	5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Shares	12/01/2015	Â	L	Amount 13.202 (1)	(D) A	Price \$ 17.47	566.9	D	Â
Common Shares	03/01/2016	Â	L	16.91 (1)	A	\$ 12.67	566.9	D	Â
Common Shares	06/01/2016	Â	L	12.73 (1)	A	\$ 17.37	566.9	D	Â
Common Shares	09/01/2016	Â	L	11.498 (1)	А	\$ 19.68	566.9	D	Â

#### Edgar Filing: TORTOISE PIPELINE & ENERGY FUND, INC. - Form 5

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. SEC 2270 (9-02)

# Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Tit	le and	8. Price of	9.
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transaction	Number	Expiration D	ate	Amou	int of	Derivative	of
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Unde	rlying	Security	D
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	•		Secur	ities	(Instr. 5)	Se
	Derivative				Securities			(Instr	. 3 and 4)		В
	Security				Acquired						0
					(A) or						E
					Disposed						Is
					of (D)						Fi
					(Instr. 3,						(I
					4, and 5)						
					(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
1 8	Director	10% Owner	Officer	Other			
GOPAL SHOBANA 11550 ASH STREET SUITE 300 LEAWOOD, KS 66211	Â	Â	Vice President	Â			

# Signatures

Reporting Person

Shobana Gopal 01/12/2017 <u>\*\*</u>Signature of Date

D

# **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 reported on Form 5 pursuant to Rule 16a-6.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.