

MALVEY KENNETH P
Form 5
January 08, 2018

FORM 5

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

OMB APPROVAL

OMB Number: 3235-0362
Expires: January 31, 2005
Estimated average burden hours per response... 1.0

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).
Form 3 Holdings Reported Form 4 Transactions Reported

ANNUAL 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

1. Name and Address of Reporting Person *
MALVEY KENNETH P

2. Issuer Name and Ticker or Trading Symbol
TORTOISE POWER & ENERGY INFRASTRUCTURE FUND INC [TPZ]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

(Last) (First) (Middle)

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)
11/30/2017

11550 ASH STREET, SUITE 300
(Street)

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

6. Individual or Joint/Group Reporting
(check applicable line)

LEAWOOD, KS 66211

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 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 | 07/03/2017 | Â | L | 5.148 <u>(1)</u> | A \$ 21.02 | 891.866 | D Â |
| Common Shares | 07/03/2017 | Â | L | 5.148 <u>(1)</u> | A \$ 21.02 | 891.866 | I By spouse |
| Common Shares | 07/03/2017 | Â | L | 0.687 <u>(1)</u> | A \$ 21.02 | 118.916 | I By adult child not living at home; |

Edgar Filing: MALVEY KENNETH P - Form 5

| Common Shares | 08/01/2017 | Â | L | <u>5.107</u> ⁽¹⁾ | A | \$ 21.31 | 891.866 | D | Â | reporting person can trade on account for adult child's benefit |
|---------------|------------|---|---|-----------------------------|---|----------|---------|---|-----------|--|
| Common Shares | 08/01/2017 | Â | L | <u>5.107</u> ⁽¹⁾ | A | \$ 21.31 | 891.866 | I | By spouse | |
| Common Shares | 08/01/2017 | Â | L | <u>0.681</u> ⁽¹⁾ | A | \$ 21.31 | 118.916 | I | | By adult child not living at home; reporting person can trade on account for adult child's benefit |
| Common Shares | 09/01/2017 | Â | L | <u>5.405</u> ⁽¹⁾ | A | \$ 20.25 | 891.866 | D | Â | |
| Common Shares | 09/01/2017 | Â | L | <u>5.405</u> ⁽¹⁾ | A | \$ 20.25 | 891.866 | I | By spouse | |
| Common Shares | 09/01/2017 | Â | L | <u>0.721</u> ⁽¹⁾ | A | \$ 20.25 | 118.916 | I | | By adult child not living at home; reporting person can trade on account for adult child's benefit |
| Common Shares | 10/02/2017 | Â | L | <u>5.17</u> ⁽¹⁾ | A | \$ 21.3 | 891.866 | D | Â | |
| Common Shares | 10/02/2017 | Â | L | <u>5.17</u> ⁽¹⁾ | A | \$ 21.3 | 891.866 | I | By spouse | |
| Common Shares | 10/02/2017 | Â | L | <u>0.69</u> ⁽¹⁾ | A | \$ 21.3 | 118.916 | I | | By adult child not living at home; reporting |

| 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. Other Information |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
| Common Shares | | 11/01/2017 | | L | <u>5.462</u> ⁽¹⁾ | A \$ 20.28 | 891.866 | D | person can trade on account for adult child's benefit |
| Common Shares | | 11/01/2017 | | L | <u>5.462</u> ⁽¹⁾ | A \$ 20.28 | 891.866 | I | By spouse |
| Common Shares | | 11/01/2017 | | L | <u>0.728</u> ⁽¹⁾ | A \$ 20.28 | 118.916 | 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.

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 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. Other Information |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|----------------------------|
| | | | | | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

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

Member of Investment Committee

Signatures

Kenneth P.
Malvey

01/08/2018

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) Automatic reinvestment of distribution by broker not made at the TPZ 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.