

TORTOISE PIPELINE & ENERGY FUND, INC.

Form 5

January 13, 2017

FORM 5**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

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

OMB APPROVAL

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

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

(Last) (First) (Middle)

11550 ASH STREET, SUITE 300

(Street)

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

3. Statement for Issuer's Fiscal Year Ended
(Month/Day/Year)
11/30/2016

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

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)
				Amount	(A) or (D)	Price			
Common Shares	12/01/2015	Â	L	32.329 (1)	A	\$ 17.47	1,388.227	D	Â
Common Shares	12/01/2015	Â	L	16.385 (1)	A	\$ 17.47	703.596	I	By spouse
Common Shares	03/01/2016	Â	L	41.41 (1)	A	\$ 12.67	1,388.227	D	Â
Common Shares	03/01/2016	Â	L	20.988 (1)	A	\$ 12.67	703.596	I	By spouse

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

Common Shares	06/01/2016	Â	L	31.173 (1)	A	\$ 17.37	1,388.227	D	Â
Common Shares	06/01/2016	Â	L	15.799 (1)	A	\$ 17.37	703.596	I	By spouse
Common Shares	09/01/2016	Â	L	28.155 (1)	A	\$ 19.68	1,388.227	D	Â
Common Shares	09/01/2016	Â	L	14.27 (1)	A	\$ 19.68	703.596	I	By spouse
Common Shares	Â	Â	Â	Â	Â	Â	0 (2)	I	By self as custodian of child's account

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. of D S B O E I F (I
						Date Exercisable	Expiration Date	Title	Amount or Number of Shares
					(A) (D)				

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

MALVEY KENNETH P
11550 ASH STREET
SUITE 300
LEAWOOD,Â KSÂ 66211

Â Â Â Member of Investment Committee

Signatures

Kenneth P.
Malvey

01/12/2017

__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 reported on Form 5 pursuant to Rule 16a-6.
- (2) Excludes 205,736 shares held by adult child no longer living at home and in which the reporting person no longer has a reportable beneficial interest but which have been included in the reporting person's prior ownership information.

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.