#### Edgar Filing: BOULDER GROWTH & INCOME FUND - Form 4

#### **BOULDER GROWTH & INCOME FUND**

Form 4

December 23, 2015

#### **OMB APPROVAL**

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

**OMB** Number:

3235-0287

0.5

Check this box if no longer

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

January 31, Expires: 2005

subject to Section 16. Form 4 or Form 5

**SECURITIES** 

Estimated average burden hours per response...

obligations may continue.

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

See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* SUSAN L CICIORA TRUST

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

**BOULDER GROWTH & INCOME** FUND [BIF]

(Check all applicable)

(Last)

(First)

(Middle)

3. Date of Earliest Transaction

Director X 10% Owner Other (specify Officer (give title

(Month/Day/Year)

12/22/2015

C/O ALASKA TRUST COMPANY, 1029 WEST 3RD

**AVENUE, SUITE 400** 

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year)

Applicable Line) Form filed by One Reporting Person \_X\_ Form filed by More than One Reporting

Person

below)

ANCHORAGE, AK 99501

(City) (State) (Zip)

(Street)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year)

Execution Date, if

(Month/Day/Year)

3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

5. Amount of Securities Beneficially Owned

Following

5,472,675

6. Ownership 7. Nature of Form: Direct Indirect Beneficial (D) or Indirect (I) Ownership (Instr. 4) (Instr. 4)

(A)

Reported Transaction(s) (Instr. 3 and 4)

Code V Amount 486,883

(1)

J(1)

Price (D) (1)

 $D^{(2)(3)}$ 

Common Stock

12/22/2015

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

Persons who respond to the collection of **SEC 1474** information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

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1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Titl	e and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orNumber	Expiration D	ate	Amou	nt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivativ	e		Securi	ities	(Instr. 5)	Bene
	Derivative				Securities	S		(Instr.	3 and 4)		Owne
	Security				Acquired						Follo
	•				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						,
					4, and 5)						
									Amount		
						Date	Expiration		or		
						Exercisable Date	•	Title	Number		
									of		
				Code V	(A) (D)				Shares		

## **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
SUSAN L CICIORA TRUST C/O ALASKA TRUST COMPANY 1029 WEST 3RD AVENUE, SUITE 400 ANCHORAGE, AK 99501		X				
HOREJSI STEWART R 2121 E. CRAWFORD PLACE SALINA, KS 67401		X				

## **Signatures**

Trust	dent, Alaska Trust Company, trustee of the Susan L. Ciciora	12/23/2015
	**Signature of Reporting Person	Date
/s/ Stewart R. Horejsi		12/23/2015
	**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).

The shares reported in Item 4 were acquired as a result of the dissolution and distribution of assets of Evergreen Atlantic, LLC ("EALLC"). The Susan L. Ciciora Trust ("Susan Trust") and Stewart West Indies Trust (the "West Indies Trust" and, together with the

- (1) Susan Trust, the "Trusts") had 45.38% and 54.62% sharing percentages, respectively, in EALLC. Prior to distributing the Issuer's shares, EALLC held 1,072,902 shares, of which 486,883 shares were distributed to the Susan Trust and 586,019 shares were distributed to the West Indies Trust.
- The trustee of each Trust is Alaska Trust Company ("Alaska Trust"), which may be deemed to control each Trust. As a result of his advisory role with the Trusts, Stewart R. Horejsi may be deemed to have indirect beneficial ownership of the shares directly beneficially owned by the Trusts. However, Mr. Horejsi disclaims such beneficial ownership of the shares directly beneficially held by each Trust.
- The Trusts and other trusts, persons and entities affiliated with the Reporting Persons, including Lola Brown Trust No. 1B, Ernest Horejsi (3) Trust No. 1B, Mildred B. Horejsi Trust, Stewart R. Horejsi Trust No. 2, Susan L. Ciciora and Ellen O. Horejsi (formerly Ellen O. Cooper) own an aggregate of 45,444,843 shares or approximately 42.83% of the Issuer.

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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.