## Edgar Filing: THUMMEL ROBERT JOSEPH JR. - Form 4

THUMMEL ROBERT JOSEPH JR. Form 4 November 08, 2018 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading THUMMEL ROBERT JOSEPH JR. Issuer Symbol TORTOISE ENERGY (Check all applicable) INDEPENDENCE FUND, INC. [NDP] Director 10% Owner \_X\_\_Officer (give title \_\_X\_\_ Other (specify (Last) (First) (Middle) 3. Date of Earliest Transaction below) below) (Month/Day/Year) President / Member of Investment Committee 11550 ASH STREET, SUITE 300 11/08/2018 (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting LEAWOOD, KS 66211 Person (State) (Zip) (City) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities Form: Direct Indirect (Instr. 3) (Instr. 3, 4 and 5) Beneficial Code Beneficially (D) or any (Instr. 8) Owned Indirect (I) Ownership (Month/Day/Year) Following (Instr. 4) (Instr. 4) Reported (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price Common 11/08/2018 Ρ 900 A 3,000 D 10.97 Shares

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.

 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. Deem Execution any (Month/D	n Date, if	4. Transactic Code (Instr. 8)	5. of Derivativ Securitie: Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	s I	ate	Amor Unde Secur	le and unt of rlying rities : 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr
					Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		
Reporting Owners												
Report	ting Owner Name / Address		Relationships									
			Director	10% Owi	ner Offic	er	Other					
THUMMEL ROBERT JOSEPH JR. 11550 ASH STREET SUITE 300 LEAWOOD, KS 66211					Pre	sident N	Member of Investment Committee					
Signa	tures											
Robert J. Thummel		11/08/201	8									

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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\*\*Signature of

Reporting Person

a currently valid OMB number.

\*

Date

If the form is filed by more than one reporting person, see Instruction 4(b)(v).

**Explanation of Responses:**