

MAITLAND TRACY V  
Form 4  
August 29, 2018

**FORM 4**

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

OMB APPROVAL

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

**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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
MAITLAND TRACY V

2. Issuer Name and Ticker or Trading Symbol  
ADVENT CLAYMORE  
CONVERTIBLE SECURITIES &  
INCOME FUND [AVK]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
Chairman, President & CEO / Trustee

(Last) (First) (Middle)  
888 7TH AVENUE, 31ST FLOOR  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
08/27/2018

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

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

NEW YORK, NY 10019

(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 Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
|                                 |                                      |  | Code                           | V   | Amount  | or (D)   | Price                                      |
| Common Stock                    | 08/27/2018                           |  | J(1)                           |   | 5,808.4416<br>(2)   | A  | \$ 0.363 21,445.4416 D                     |
| Common Stock                    | 08/27/2018                           |  | J(1)                           |   | 19,805.5056<br>(3)  | A  | \$ 0.4951 41,250.9472 D                    |

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

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(9-02)

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**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. Number of Derivative Securities Owned Beneficially (Instr. 5) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                           |         |
|--|---------------|-----------|---------------------------|---------|
|  | Director      | 10% Owner | Officer                   | Other   |
| MAITLAND TRACY V<br>888 7TH AVENUE<br>31ST FLOOR<br>NEW YORK, NY 10019 | X             |           | Chairman, President & CEO | Trustee |

## Signatures

/s/ Tracy V. Maitland, by Mark Mathiasen pursuant to Power of Attorney

08/29/2018

\_\_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).

The reported shares were acquired as a result of a closed-end fund merger between Advent Claymore Convertible Securities and Income

- (1) Fund II (AGC), Advent/Claymore Enhanced Growth & Income Fund (LCM), and Advent/Claymore Convertible Securities and Income Fund (AVK) in which AVK was the surviving fund.
- (2) AGC share amount converted into AVK.
- (3) LCM share amount converted into AVK.

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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