## Edgar Filing: McCarthy Kevin S - Form 4

Form 4 May 08, 2018       OMB APPROVAL         FORM 4 May 08, 2018       UNITED STATES SECURITIES AND EXCHANCE COMMISSION Washington, D.C. 20549       OMB APPROVAL         Check this box if no longer Section 16.       STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES       OMB APPROVAL         Form 4 or Form 4 or Section 17(a) of the Public Utility Holding Company Act of 1935, or Section may continue. Section 17(a) of the Public Utility Holding Company Act of 1940.       OMB APPROVAL         (Name and Address of Reporting Person Section 17(a) of the Public Utility Holding Company Act of 1940.       S. Relationship of Reporting Person(s) to Issuer       S. Relationship of Reporting Person(s) to Issuer         (Print or Type Responses)       1. Name and Address of Reporting Person(s) to Issuer       S. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       S. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       S. Relationship of Reporting Person(s) to Issuer         (CO KAYNE ANDERSON COF KAYNE ANDERSON COR KAYNE ANDIESON VENUE OF THE STARS, SECOND FLOOR       1. Mamendment, Date Original Filed(Month/Day/Year)       6. Individual or Joint/Group Filing(Check Applicable Line) Common (Stock)       3. A. Securities Acquired (A) S. Annoant of Code V Amount (D)       5. Annoant of Securities Acquired (A) S. Annoant of Securities Monthy Day Year)       6. Individual or Joint/Group F	McCarthy H	Kevin S											
FORM 4 UNITED STATES SECURITIES AND EXCHANGES ON MAINSON Washington, D.C. 20549       OMB APPROVAL OMB       OMB APPROVAL OMB       OMB APPROVAL OMB         Check this how with to longer with to longer section 16.       STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16.       Statement of CHANGES IN BENEFICIAL OWNERSHIP OF Section 16.       Statement of CHANGES IN BENEFICIAL OWNERSHIP OF Section 17(a) of the Public Utility Holding Company Act of 1934, may continue section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1935 or Section 1(b).       Statement of Parison (1000000000000000000000000000000000000													
Check this box if ino longer subject to section 16.       STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES       OMB Number:       3235-0287 240124731, 2012473, 20124,	May 08, 20	18											
Check this box if no longer subject to Section 16. Form 4 or Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations ave instruction 30(h) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1935 or Section Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1935 or Section McCarthy Kevin S Symbol (Last) (First) (Middle) (Last) (First) (Middle) COP THL STARS, SECOND FLOOR (Stroet) 4. If Amendment, Date Original Filed(Month/Day/Year) (City) (State) (Zip) LOS ANGELES, CA 90067 (City) (State) (Zip) (Last) (City) (State) (Zip) LOS ANGELES, CA 90067 (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquired, More than Che Reporting Person (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquired, More than Che Reporting Person (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquired, More than Che Reporting Person (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquired, More than Che Reporting Person (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquired, More than Che Reporting Person (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquired, More than Che Reporting Person (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquired, More than Che Reporting Person (City) (State) (Zip) Table 1 - Non-Derivative Securities Acquired, More than Che Reporting Person (Month/Day/Year) (Instr. 3) (Month/Day/Year) (Instr. 4) (Instr. 4) (A) Tamasection(S) (Instr. 4) (Instr. 4) (A) Tamasection(S) (Instr. 4) (A) Tamasection(S) (Instr. 4) (Instr. 4) (Instr. 4) (Instr.	FORM 4								OMB APPROVAL				
ir no longer subject to Section 16.       STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES       Express: 2005 Estimated average response       Express: 2005 Estimated average response       Constraints         Form 4 or Form 5       Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue       Section 17(a) of the Public Utility Holding Company Act of 1930 or Section Section 17(a) of the Public Utility Holding Company Act of 1940 1(b).       Section 17(a) of the Public Utility Holding Company Act of 1940 1(b).         (Print or Type Responses)       1. Name and Address of Reporting Person 1       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       _X_Director X		Washington, D.C. 20549							OMMISSION				
STATEMENT OF CHARGES IN BEXEFICIAL OWNERSHIP OF Section 16.       Estimated average burden hours per prom 4 or Form 5         Section 16.       SECURITIES         Form 4 or Form 5       Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. Sec Instruction 1(b).       01/2       0.5         (Print or Type Responses)       30(h) of the Investment Company Act of 1940 1(b).       1935 or Section 1940 1(b).       5. Relationship of Reporting Person(s) to Issuer         (Print or Type Responses)       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)		nger								Expires:			
obligations may continue. See Instruction       See 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 1 (b).       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Print or Type Responses)       2. Issuer Name and Ticker or Trading Kayne Anderson MLP Investment CO [KYN]       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       5. Relationship of Reporting Person(s) to Issuer         C/O KAYNE ANDERSON       05/01/2018	subject Section Form 4	subject to STATEMENT OF CHANGE Section 16. Statement of S					ICIA	L OWN	ERSHIP OF	burden hour	verage 's per		
1. Name and Address of Reporting Person '' McCarthy Kevin S       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       (Check all applicable)         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       (Check all applicable)         C/O KAYNE ANDERSON CAPITAL ADVISORS, LP, 1800       05/01/2018	Form 5 obligations may continue.Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,See InstructionSection 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940												
McCarthy Kevin S McCarthy Kev	(Print or Type	Responses)											
(CO [KYN]       (Check all applicable)         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)		Symbol											
(Month/Day/Year)       (Chairman, President and CEO         C/O KAYNE ANDERSON       05/01/2018       6. Individual or Joint/Group Filing(Check       Applicable Line)       (Chairman, President and CEO         AVENUE OF THE STARS, SECOND FLOOR       (Street)       4. If Amendment, Date Original Filed(Month/Day/Year)       6. Individual or Joint/Group Filing(Check         LOS ANGELES, CA 90067       2. Transaction Date (Month/Day/Year)       3.       4. Securities Acquired, Disposed of, or Beneficially Owned         1. Title of Security       2. Transaction Date (Month/Day/Year)       3.       4. Securities Acquired (A) or (Instr. 3, 4 and 5)       5. Amount of Securities Mone Prince (I) (Instr. 4)       7. Nature of Indirect (I) (Instr. 4)         (Instr. 3)       (Month/Day/Year)       (Instr. 8)       (Instr. 8)       5. Amount (D) Price (I) (Instr. 4)       0wnership Following or Indirect (D) Ownership Following or Indirect (D) (Instr. 4)         Common Stock       05/01/2018       P(1)       14,265       A       \$ 17.5263       529,121       D         Common       05/01/2018       P(1)       14,265       A       \$ 2.9788       By		-			vestii	lent	(Check all applicable)						
CO KA YNE ANDERSON 05/01/2018 CAPITAL ADVISORS, LP, 1800 AVENUE OF THE STARS, SECOND FLOOR (Street) 4. If Amendment, Date Original Filed(Month/Day/Year) 4. If Amendment, Date Original Filed(Month/Day/Year) 6. Individual or Joint/Group Filing(Check Applicable Line) X. 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) (Month/Day/Year) 2. Transaction Date (Month/Day/Year) 2. Transaction Date (Instr. 3) (Month/Day/Year) 2. Transaction Date (Month/Day/Year) 3. 4. Securities Acquired (A) (Instr. 3. 4 and 5) (Instr. 3. 4 and 5) (Instr. 3. 4 and 5) (Instr. 3. 4 and 5) (Instr. 3. 4 and 6) (Instr. 4) (Instr. 3 and 4) (Instr. 4) (Instr. 3 and 4) Code V Amount (D) Price (Instr. 3 and 4) (Instr. 3 and 4) (Instr. 3 and 4) (Instr. 4) (Instr. 4) (Instr. 4) (Instr. 3 and 4) (Instr. 4) (Instr. 4) (Instr. 3 and 4) (Instr. 4) (Instr. 4) (Instr. 3 and 4) (Instr. 4	(Last) (First) (Middle)					ransaction			XOfficer (give titleOther (specify				
Filed(Month/Day/Year)       Applicable Line) _X_Form filed by More Reporting Person 	CAPITAL AVENUE	ADVISORS, LP, OF THE STARS,		05/01/2	2018				· · · · · · · · · · · · · · · · · · ·		CEO		
$\begin{array}{ c c c c c } \hline LOS ANGELES, CA 90067 & \hline & $		Filed(Month/Day/Year)					Applicable Line)						
1.Title of Security (Instr. 3)       2. Transaction Date (Month/Day/Year)       2A. Deemed Execution Date, if any (Month/Day/Year)       3.       4. Securities Acquired (A) Transactionor Disposed of (D) Code (Instr. 3, 4 and 5)       5. Amount of Securities Beneficially Owned Following or Indirect       6.       7. Nature of Indirect Beneficial Ownership (Instr. 4)         Common Stock       05/01/2018       P(1)       14,265       A       \$ 17.5263       529,121       D         Common       9.798       I       By	LOS ANG	-					Form filed by More than One Reporting						
Security (Instr. 3)       (Month/Day/Year)       Execution Date, if any (Month/Day/Year)       Transactionor Disposed of (D) Code       Securities (Instr. 3, 4 and 5)       Ownership Beneficially Owned       Ownership Form:       Indirect Beneficial Ownership         (Instr. 3)       (Month/Day/Year)       (Instr. 8)       (Instr. 8)       Securities       Ownership       Indirect         (Month/Day/Year)       (Month/Day/Year)       (Instr. 8)       (Instr. 8)       Securities       Owned       Form:       Beneficial         (Month/Day/Year)       (Month/Day/Year)       (Instr. 8)       (Instr. 8)       Securities       Owned       Direct (D)       Ownership         (Instr. 3)       (Instr. 4)       (Instr. 3)       (Instr. 4)       Securities       Owned       Ownership       Ownership         (Instr. 3)       (Instr. 4)       (Instr. 4)       (Instr. 4)       (Instr. 4)       (Instr. 4)         Common       05/01/2018       P(1)       14,265       A       \$       529,121       D         Common       9.798       I       By	(City)	(State)	(Zip)	Tab	ole I - Non-l	Derivative	Secur	ities Acqu	uired, Disposed of,	or Beneficiall	y Owned		
Common Stock       05/01/2018       P(1)       14,265       A       \$ 17.5263       529,121       D         Common       9.798       I       By	Security		Execution any	Date, if	Transactic Code (Instr. 8)	onor Disposo (Instr. 3, 4	ed of ( and 5 (A) or	D) )	Securities Beneficially Owned Following Reported Transaction(s)	Ownership Form: Direct (D) or Indirect (I)	Indirect Beneficial Ownership		
9./98		05/01/2018					Ì	\$	529,121	D			
									9,798	Ι	•		

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 (9-02) required to respond unless the form displays a currently valid OMB control

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#### 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. 3. Transaction Date 3A. Deemed Conversion (Month/Day/Year) Execution Date, or Exercise any Price of (Month/Day/Ye Derivative Security		Execution Date, if	4. 5. TransactionNumber Code of (Instr. 8) Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owna Follo Repo Trans (Instr	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		
Reporting Owners											
<b>Reporting Owner Name / Address</b>				Relationships							
				Director	10% Own	ner Officer				Other	
McCarthy Kevin S C/O KAYNE ANDERSON CAPITAL ADVISORS, LP 1800 AVENUE OF THE STARS, SECOND FLOOR LOS ANGELES, CA 90067			Х	Chairman, President and CEO							
•	tures										
Varin C											

Kevin S. 05/08/2018 McCarthy

Date

<u>\*\*</u>Signature of Reporting Person

## **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).

Negotiated transaction between the Reporting Person and KA Associates, Inc. ("KAA"). KAA is a FINRA registered broker-dealer.
 (1) Richard A. Kayne is the majority owner of KAA which, by virtue of common control, is an affiliate of the investment advisor of the Issuer. Price determined based on the 10-day VWAP for the period April16-30, 2018.

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.