#### Edgar Filing: KAYNE RICHARD A - Form 4

#### KAYNE RICHARD A

Form 4

August 21, 2018

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** 3235-0287

**OMB APPROVAL** 

Number: Expires:

January 31,

2005

0.5

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if no longer subject to Section 16. Form 4 or Form 5

obligations

Check this box

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 may continue.

30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

See Instruction

1. Name and Address of Reporting Person \*

5. Relationship of Reporting Person(s) to

Issuer

KAYNE RICHARD A

Symbol

KAYNE ANDERSON MIDSTREAM/ENERGY FUND,

2. Issuer Name and Ticker or Trading

INC. [KMF]

(Check all applicable)

Director 10% Owner Officer (give title \_\_X\_ Other (specify

below) below) SEE NOTES (1) AND (2)

(Last)

(City)

(First)

(Middle)

(Zip)

3. Date of Earliest Transaction

(Month/Day/Year)

08/06/2018

6. Individual or Joint/Group Filing(Check

Applicable Line)

Form filed by One Reporting Person \_X\_ Form filed by More than One Reporting

CAPITAL ADVISORS LP, 1800 AVENUE OF THE STARS, THIRD **FLOOR** 

(Street)

(State)

4. If Amendment, Date Original

Filed(Month/Day/Year)

LOS ANGELES, CA 90067

C/O KAYNE ANDERSON

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

1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	ansaction Date 2A. Deemed th/Day/Year) Execution Date, if any (Month/Day/Year)		actic	4. Securities Acquired n(A) or Disposed of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
COMMON STOCK	08/06/2018		Code J <u>(1)</u>		Amount 197,754	or (D)	Price \$ 15.1	(Instr. 3 and 4) 203,844	D	
COMMON STOCK	08/06/2018		J <u>(1)</u>	V	71,828	A	\$ 15.1	133,568	I (2)	SEE NOTES (1) AND (2)

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

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SEC 1474 (9-02)

> 9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exer	cisable and	7. Title	e and	8. Price of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transac	tionNumber	Expiration D	ate	Amou	nt of	Derivative
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8	) Derivativ	re		Securi	ties	(Instr. 5)
	Derivative				Securities	S		(Instr.	3 and 4)	
	Security				Acquired					
					(A) or					
					Disposed					
					of (D)					
					(Instr. 3,					
					4, and 5)					
									Amount	
						Date	Expiration		or Number	
						Exercisable	Date		of	
				Code '	V (A) (D)				Shares	
				Code	v (A) (D)				Shares	

# **Reporting Owners**

Reporting Owner Name / Address		Relationships						
		10% Owner	Officer	Other				
KAYNE RICHARD A C/O KAYNE ANDERSON CAPITAL ADVISORS LP 1800 AVENUE OF THE STARS, THIRD FLOOR LOS ANGELES, CA 90067				SEE NOTES (1) AND (2)				
KAYNE ANDERSON CAPITAL ADVISORS LP 1800 AVENUE OF THE STARS, THIRD FLOOR LOS ANGELES, CA 90067				SEE NOTE (2)				
KA Fund Advisors LLC C/O KAYNE ANDERSON CAPITAL ADVISORS, L.P 1800 AVENUE OF THE STARS, THIRD FLOOR LOS ANGELES, CA 90067				SEE NOTE (2)				
Signatures								

## **Signatures**

/S/ DAVID SHLADOVSKY BY POWER OF ATTORNEY FOR RICHARD A. KAYNE	08/13/2018
**Signature of Reporting Person	Date
/S/ DAVID SHLADOVSKY BY POWER OF ATTORNEY FOR KAYNE ANDERSON CAPITAL ADVISORS, L.P.	08/13/2018
**Signature of Reporting Person	Date
/S/ DAVID SHLADOVSKY BY POWER OF ATTORNEY FOR KA FUND ADVISORS, LLC	08/13/2018

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\*\*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).
- SHARES RECEIVED IN EXCHANGE FOR SHARES FORMERLY HELD IN KAYNE ANDERSON ENERGY TOTAL RETURN (1) FUND, INC. IN CONNECTION WITH ITS REORGANIZATION INTO KMF, USING RESPECTIVE NET ASSET VALUES PER SHARE.
  - A TOTAL OF 129,568 SHARES ARE HELD BY KAYNE ANDERSON CAPITAL ADVISORS, L.P.("KACALP") RICHARD KAYNE IS THE MAJORITY OWNER AND CHAIRMAN OF KACALP. A TOTAL OF 4,000 SHARES ARE OWNED BY KA FUND
- (2) ADVISORS, LLC ("KAFA.") MR. KAYNE IS THE MAJORITY OWNER OF KAFA. MR. KAYNE DISCLAIMS BENEFICIAL OWNERSHIP OF ALL SHARES HELD OR CONTROLLED BY KACALP AND KAFA EXCEPT TO THE EXTENT OF HIS PECUNIARY INTEREST THEREIN.

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.

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