### Edgar Filing: PIMCO NEW YORK MUNICIPAL INCOME FUND - Form 3

#### PIMCO NEW YORK MUNICIPAL INCOME FUND

Form 3

December 02, 2014

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

**SECURITIES** response...

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement PIMCO NEW YORK MUNICIPAL INCOME FUND UBS Group AG (Month/Day/Year) [PNF] 11/28/2014 (Middle) (Last) (First) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) BAHNHOFSTRASSE 45, PO (Check all applicable) **BOX CH-8098** (Street) 6. Individual or Joint/Group Director \_X\_\_ 10% Owner Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting Person ZURICH, V8Â Form filed by More than One Reporting Person (Zip) (City) (State) Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Ownership (Instr. 4) Beneficially Owned Ownership (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) Auction Preferred Stock (2)  $1,286 \frac{(3)}{}$ Ι By subsidiary - see footnote (1)Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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 Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

(Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)	Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative	5. Ownership Form of Derivative Security:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
		Title	Derivative	Security.	

### Edgar Filing: PIMCO NEW YORK MUNICIPAL INCOME FUND - Form 3

Date Expiration Amount or Security Direct (D)
Exercisable Date Number of or Indirect
Shares (I)
(Instr. 5)

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

**UBS** Group AG

BAHNHOFSTRASSE 45 PO BOX CH-8098 ZURICH, V8Â

# **Signatures**

/s/ Anthony DeFilippis 12/02/2014

\*\*Signature of Date

Reporting Person

/s/ William Chandler 12/02/2014

\*\*Signature of Date
Reporting Person

# **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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).
- This Statement is filed jointly by UBS Group AG for the benefit and on behalf of UBS Securities LLC and UBS Financial Services

  Inc., two-wholly owned subsidiaries of UBS AG to which UBS AG has delegated portions of its performance obligations with respect to the Auction Rate Securities Rights issued by UBS AG to certain clients and pursuant to which the securities reported herein have been purchased from such clients.
- (2) Cusip No 72200T301
- Pursuant to the Global Relief Letter referred to below, this filing reports holdings of the Series of Auction Preferred Stock identified in Item 1 of this Table I on an aggregated basis.

Â

#### **Remarks:**

The Shares reported herein represent UBS Group AG's combined holdings in multiple series of auction and series of auction auction auction auction auction auction a

The event triggering notification is the acquisition of UBS AG by UBS Group AG through the co 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.

Reporting Owners 2