30(h) of the Investment Company Act of 1940

BUFFINGTON THOMAS MATTHEW Form 3 January 14, 2019 FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 INITIAL STATEMENT OF 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

OMB APPROVAL

OMB Number:	3235-0104
Expires:	January 31, 2005
Estimated a burden hour response	0

(Print or Type Responses)

1. Name and Address of Reporting Person <u>*</u> BUFFINGTON THOMAS MATTHEW		Statement	Aonth/Day/Year) [PNF]						
(Last)	(First)	(Middle)			4. Relationship of Reporting Person(s) to Issuer				ndment, Date Original th/Day/Year)
C/O PIMCO, 650 NEWPORT CENTER DRIVE				(Check all applicable)					
NEWPORT BEACH, C	(Street) AÂ 92660				X Director Officer (give title below	Other		Filing(Che _X_ Form Person	ual or Joint/Group eck Applicable Line) filed by One Reporting iled by More than One Person
(City)	(State)	(Zip)	Т	able I - N	- Non-Derivative Securities Beneficially Owned				
(Instr. 4)		2. Amount of Securities Beneficially Owned (Instr. 4)		3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	m: (Instr. 5) ect (D) indirect		rect Beneficial		
Auction Rate	Preferred	Shares $(1)$	1	0		Ι	By D	Oryden Ca	apital Fund, LP (1)
Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. SEC 1473 (7-02)									
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 ( <i>e.g.</i> , puts, calls, warrants, options, convertible securities)									
1. Title of Deriv (Instr. 4)		y 2. Da Expir	te Exercisable and ration Date /Day/Year)	d 3. Title Securiti	and Amount of es Underlying ive Security		5. on O		6. Nature of Indirect Beneficial Ownership (Instr. 5)

(Instr. 4)

Price of

Derivative

Derivative

Security:

#### Edgar Filing: BUFFINGTON THOMAS MATTHEW - Form 3

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

# **Reporting Owners**

Reporting Owner Name / Address					
	Director	10% Owner	Officer	Other	
BUFFINGTON THOMAS MATTHEW C/O PIMCO 650 NEWPORT CENTER DRIVE NEWPORT BEACH, CA 92660	ÂX	Â	Â	Â	
Signatures					
/s/ Kevin Van Gorder, Attorney-in-Fact for Thomas Matthew Buffington					
**Signature of Reporting Person					Date

# **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).

Represents Auction Rate Preferred Shares held by Dryden Capital Fund, LP (the "Fund"). Dryden Capital LLC is the investment adviser of the Fund, and Dryden Capital GP, LLC is the general partner of the Fund. Mr. Buffington is the sole portfolio manager at Dryden

(1) Of the Fund, and Dividen Capital GP, LLC is the general parties of the Fund. Mr. Buffington is the sole portion manager at Dividen Capital LLC and the managing member of Dryden Capital GP, LLC. Mr. Buffington disclaims any beneficial ownership of any of the Issuer's securities reported herein except to the extent of his pecuniary interest therein.

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#### **Remarks:**

## Exhibit List: Exhibit 24 - Power of Attorney

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.