

BUFFINGTON THOMAS MATTHEW

Form 3

January 14, 2019

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104

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**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  
30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Â BUFFINGTON THOMAS  
MATTHEW

(Last) (First) (Middle)

C/O PIMCO,Â 650 NEWPORT  
CENTER DRIVE

(Street)

NEWPORT  
BEACH,Â CAÂ 92660

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)  
01/02/2019

3. Issuer Name and Ticker or Trading Symbol

PIMCO CALIFORNIA MUNICIPAL INCOME FUND  
III [PZC]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

☒ Director ☐ 10% Owner  
☐ Officer ☐ Other  
(give title below) (specify below)

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

**Table I - Non-Derivative Securities Beneficially Owned**

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned (Instr. 4)

3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)

4. Nature of Indirect Beneficial Ownership (Instr. 5)

Auction Rate Preferred Shares <sup>(1)</sup>

14

I

By Dryden Capital Fund, LP <sup>(1)</sup>

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 (e.g., puts, calls, warrants, options, convertible securities)**

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and Expiration Date (Month/Day/Year)

3. Title and Amount of 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)

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

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BUFFINGTON THOMAS MATTHEW C/O PIMCO 650 NEWPORT CENTER DRIVE NEWPORT BEACH, CA 92660	X			

## Signatures

/s/ Kevin Van Gorder, Attorney-in-Fact for Thomas Matthew Buffington	01/14/2019
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**Signature of Reporting Person	Date
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## 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 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.