

ERIE INDEMNITY CO
Form 4
October 06, 2016

FORM 4

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

OMB APPROVAL

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Expires: January 31, 2005
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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN 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 *
Vorsheck Elizabeth A

(Last) (First) (Middle)

6252 COMMERCIAL WAY PMB
140

(Street)

BROOKSVILLE, FL 34613

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
ERIE INDEMNITY CO [ERIE]

3. Date of Earliest Transaction
(Month/Day/Year)
10/01/2016

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director 10% Owner
 Officer (give title below) Other (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 Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
				(A) or (D) Price			
Class A Common Stock	10/01/2016		J ⁽¹⁾	354,368 D \$ 0 0		I	By Elizabeth A. Vorsheck 2009 7-year GRAT
Class A Common Stock					69,516	D	
Class A Common Stock					324,300	I	By Audrey C. Hirt 1989/1990 Income

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Class A Common Stock	500,000	I	Trust For E. Vorsheck By Elizabeth A. Vorsheck 2009 10-year GRAT
Class A Common Stock	162,533	I	By Elizabeth Vorsheck Trustee Elizabeth Vorsheck Revocable Trust U/A DTD 05/03/99
Class A Common Stock	372,565	I	By Frank William Hirt 1989/1990 Trust For E. Vorsheck
Class A Common Stock	3,000,000	I	VEIC Limited Partnership

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 required to respond unless the form displays a currently valid OMB control number.

SEC 1474
(9-02)

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. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Class B Common Stock	\$ 0 <u>(2)</u>	<u>(2)</u>	<u>(2)</u>	Class A Common Stock	2,808,000 <u>(2)</u>
Class B Common Stock	\$ 0 <u>(2)</u>	<u>(2)</u>	<u>(2)</u>	Class A Common Stock	2,808,000 <u>(2)</u>
Directors' Deferred Compensation Phantom Units	\$ 0 <u>(3)</u>	<u>(4)</u>	<u>(5)</u>	Class A Common Stock	8,514.862

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Vorsheck Elizabeth A 6252 COMMERCIAL WAY PMB 140 BROOKSVILLE, FL 34613	X	X		

Signatures

Chandra M. Burns, Power of Attorney

10/06/2016

 **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).
- (1) This transaction was a distribution of ERIE Class A Common Stock from the Elizabeth A. Vorsheck 2009 7-Year GRAT to the remainder trusts established for the beneficiaries thereunder, pursuant to the terms of the GRAT document.
- (2) Pursuant to the Articles of Incorporation of the Company, as amended, shares of Class B Common Stock (voting) of Erie Indemnity Company are convertible at any time to shares of Class A Common Stock (non-voting) at a conversion rate of 2,400 shares of Class A Stock for each share of Class B Stock. There are no exercise or expiration dates associated with this conversion feature and no specific exercise price when a Class B share is converted into Class A shares.
- (3) Conversion price is not applicable to shares granted under the Erie Indemnity Company Deferred Compensation Plan for Outside Directors (the "Plan").
- (4) The shares subject to this reporting are phantom Share Credits which are periodically credited to the accounts of certain Directors of Erie Indemnity Company pursuant to the Plan. These Share Credits are actually paid to the reporting individual in shares of Erie Indemnity Company Class A Common Stock when their service as a Director of Erie Indemnity Company ends. There is no exercisable date for these securities.
- (5) The shares subject to this reporting are phantom Share Credits which are periodically credited to the accounts of certain Directors of Erie Indemnity Company pursuant to the Plan. These Share Credits are actually paid to the reporting individual in shares of Erie Indemnity Company Class A Common Stock when their service as a Director of Erie Indemnity Company ends. There is no expiration date for these securities.

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. $\text{width}="91\%"$ $\text{colspan}="4"$ $\text{style}="border:none;border-bottom:solid windowtext 1.0pt;padding:3.0pt 3.0pt 3.0pt 3.0pt;width:91.3\%;"$

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Names of Reporting Persons. I.R.S. Identification Nos. of above persons (entities only)
Intertec Healthcare Partners, L.P.
20-5664786

2.

Check the Appropriate Box if a Member of a Group (See Instructions)

(a)

(b)

3.

SEC Use Only

4.

Citizenship or Place of Organization
United States- DE

Number of
Shares
Beneficially
Owned by
Each
Reporting

Explanation of Responses:

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Person With

5.

Sole Voting Power
-0-

6.

Shared Voting Power
388,565

7.

Sole Dispositive Power
-0-

8.

Shared Dispositive Power
388,565

9.

Aggregate Amount Beneficially Owned by Each Reporting Person
388,565

10.

Check if the Aggregate Amount in Row (9) Excludes Certain Shares (See Instructions)

11.

Percent of Class Represented by Amount in Row (9)
6.0%

Explanation of Responses:

12.

Type of Reporting Person (See Instructions)
PN

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1. Names of Reporting Persons. I.R.S. Identification Nos. of above persons (entities only)
Ruediger Naumann-Etienne

2. Check the Appropriate Box if a Member of a Group (See Instructions)

(a)
(b)

3. SEC Use Only

4. Citizenship or Place of Organization
United States

Number of
Shares
Beneficially
Owned by
Each
Reporting
Person With

5. Sole Voting Power
-0-

6. Shared Voting Power
388,565

7. Sole Dispositive Power
-0-

8. Shared Dispositive Power
388,565

9. Aggregate Amount Beneficially Owned by Each Reporting Person
388,565

10. Check if the Aggregate Amount in Row (9) Excludes Certain Shares (See Instructions)

11. Percent of Class Represented by Amount in Row (9)
6.0%

12. Type of Reporting Person (See Instructions)
IN

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Item 1.

- (a) Name of Issuer
Encision Inc.
- (b) Address of Issuer's Principal Executive Offices
6797 Winchester Circle

Boulder, Colorado 80301

Item 2.

- (a) Name of Person Filing
Intertec Healthcare Management, L.L.C. ("LLC"), Intertec Healthcare Partners, L.P. ("LP") and Ruediger Naumann-Etienne (the "Manager"). LLC is the General Partner of LP and the Manager is the managing member of LLC.
- (b) Address of Principal Business Office or, if none, Residence
The Business Address of LLC, LP and the Manager is 5980 Horton Street, Suite 390, Emeryville, CA 94608; LLC is a Delaware limited liability company, LP is a Delaware limited partnership and the Manager is a U.S. citizen.

LLC, LP and the Manager are individually referred to herein as "Reporting Person" and collectively, as the "Reporting Persons".
- (c) Citizenship
- (d) Title of Class of Securities
Common Stock
- (e) CUSIP Number
29254Q104

Item 3.

If this statement is filed pursuant to §§240.13d-1(b) or 240.13d-2(b) or (c), check whether the person filing is a:
N/A

- (a) Broker or dealer registered under section 15 of the Act (15 U.S.C. 78o).
- (b) Bank as defined in section 3(a)(6) of the Act (15 U.S.C. 78c).
- (c) Insurance company as defined in section 3(a)(19) of the Act (15 U.S.C. 78c).
- (d) Investment company registered under section 8 of the Investment Company Act of 1940 (15 U.S.C 80a-8).
- (e) An investment adviser in accordance with §240.13d-1(b)(1)(ii)(E);
- (f) An employee benefit plan or endowment fund in accordance with §240.13d-1(b)(1)(ii)(F);
- (g) A parent holding company or control person in accordance with § 240.13d-1(b)(1)(ii)(G);
- (h) A savings associations as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813);
- (i) A church plan that is excluded from the definition of an investment company under section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3);
- (j) Group, in accordance with §240.13d-1(b)(1)(ii)(J).

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Item 4. Ownership

Provide the following information regarding the aggregate number and percentage of the class of securities of the issuer identified in Item 1.

(a) Amount beneficially owned:

See Row 9 for the amount beneficially owned by each Reporting Person.

(b) Percent of class:

See Row 11 for the percentage of class beneficially owned by each Reporting Person based on 6,430,437 shares of common stock outstanding as of October 31, 2006.

(c) Number of shares as to which the person has:

(i) Sole power to vote or to direct the vote

See Row 5 for the sole voting power for each Reporting Person.
Shared power to vote or to direct the vote

(ii)

See Row 6 for the shared voting power for each Reporting Person.

(iii) Sole power to dispose or to direct the disposition of

See Row 7 for the sole dispositive power for each Reporting Person.

(iv)

Shared power to dispose or to direct the disposition of

See Row 8 for the shared dispositive power for each Reporting Person.

Instruction. For computations regarding securities which represent a right to acquire an underlying security *see* §240.13d-3(d)(1).

Item 5. Ownership of Five Percent or Less of a Class

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following .

Instruction: Dissolution of a group requires a response to this item.

Item 6. Ownership of More than Five Percent on Behalf of Another Person

N/A

Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on By the Parent Holding Company or Control Person

N/A

Item 8. Identification and Classification of Members of the Group

The Reporting Persons may be deemed to be a group for purposes of Section 13(g) of the Act and the rules thereunder, although each expressly disclaims any assertion or presumption that it or the other person on whose behalf this statement is filed constitutes a group. The filing of this Statement should not be construed to be an admission that any of the Reporting Persons is a member of a group consisting of one or more of such persons. A copy of the Agreement Relating to Joint Filing of Schedule 13G is attached hereto as Exhibit A.

Item 9. Notice of Dissolution of Group

N/A

Item 10. Certification

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect.

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Dated: December 18, 2006

INTERTEC HEALTHCARE MANAGEMENT, L.L.C.

By: /s/ Ruediger Naumann-Etienne
Name: Ruediger Naumann-Etienne
Title: Managing Member

INTERTEC HEALTHCARE PARTNERS, L.P.

By: Intertec Healthcare Management, L.L.C.
Its: General Partner

By: /s/ Ruediger Naumann-Etienne
Name: Ruediger Naumann-Etienne
Title: Managing Member

/s/ Ruediger Naumann-Etienne
Ruediger Naumann-Etienne

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AGREEMENT RELATING TO JOINT FILING OF SCHEDULE 13G

The undersigned hereby agree that a single Schedule 13G (or any amendment thereto) relating to the common stock of Encision Inc. shall be filed on behalf of each of the undersigned and that this Agreement shall be filed as an Exhibit to such Schedule 13G.

This Agreement and the filing of the Schedule 13G shall not be construed to be an admission that any of the undersigned is a member of a group consisting of one or more of such persons pursuant to Section 13(g) of the Securities Exchange Act of 1934, as amended and the rules thereunder.

Dated: December 18, 2006

INTERTEC HEALTHCARE MANAGEMENT, L.L.C.

By: /s/ Ruediger Naumann-Etienne
Name: Ruediger Naumann-Etienne
Title: Managing Member

INTERTEC HEALTHCARE PARTNERS, L.P.

By: Intertec Healthcare Management, L.L.C.
Its: General Partner

By: /s/ Ruediger Naumann-Etienne
Name: Ruediger Naumann-Etienne
Title: Managing Member

By: /s/ Ruediger Naumann-Etienne
Name: Ruediger Naumann-Etienne