## Edgar Filing: LAZARD GLOBAL TOTAL RETURN & INCOME FUND INC - Form 3/A

#### LAZARD GLOBAL TOTAL RETURN & INCOME FUND INC

Form 3/A March 08, 2017

# FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF Expires: **SECURITIES** 

January 31, 2005

0.5

Estimated average burden hours per

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

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*

À Carroll Charles Lawrence

(Last) (First) (Middle)

C/O LAZARD ASSET MANAGEMENT LLC

("LAM"), 30 ROCKEFELLER **PLAZA** 

(Street)

NEW YORK. NYÂ 10112

(City) (State) (Zip)

1. Title of Security (Instr. 4)

Statement

(Month/Day/Year)

02/28/2017

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

LAZARD GLOBAL TOTAL RETURN & INCOME FUND INC [LGI]

4. Relationship of Reporting

5. If Amendment, Date Original Person(s) to Issuer

Filed(Month/Day/Year) 04/30/2004

(Check all applicable)

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

6. Individual or Joint/Group Man Dir. / Dep. Chair of LAM (1)

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

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

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form: Direct (D)

or Indirect

4. Nature of Indirect Beneficial Ownership

(Instr. 5)

(I) (Instr. 5)

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 1473 (7-02)

#### 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. 5. Ownership Conversion or Exercise Form of

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

Price of Derivative Derivative Security:

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Date Expiration Title 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

Carroll Charles Lawrence

C/O LAZARD ASSET MANAGEMENT LLC ("LAM") 30 ROCKEFELLER PLAZA NEW YORK, NYÂ 10112 Â Man Dir. Dep. Chair of LAM (1)

**Signatures** 

/s/ Charles L. 03/07/2017 Carroll

\*\*Signature of Date Reporting Person

## **Explanation of Responses:**

No securities are beneficially owned

- \* 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).

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#### **Remarks:**

(1) LAM is the investment adviser to LGI. Mr. Carroll has resigned from his positions with LGI,Â

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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