

Independent Bank Group, Inc.
Form 4
October 05, 2016

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
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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 *
Brooks Daniel W

2. Issuer Name and Ticker or Trading Symbol
Independent Bank Group, Inc.
[IBTX]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

1600 REDBUD
BOULEVARD, SUITE 400

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
10/04/2016

Director 10% Owner
 Officer (give title below) Other (specify below)
Vice Chairman and CRO

MCKINNEY, TX 75069

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

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

(City) (State) (Zip)

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 Ownership (Instr. 4)
				(A) or (D)	Price		
Common Stock	10/04/2016		S(1)	D	5,000 (1) \$ 44	172,828	D

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474
(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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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)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Owned Following Reporting Transaction (Instr. 6)
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Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Brooks Daniel W 1600 REDBUD BOULEVARD SUITE 400 MCKINNEY, TX 75069	X		Vice Chairman and CRO	

Signatures

/s/ Jan Webb, as Attorney
in Fact 10/05/2016

**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) The transactions reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person on or about September 2, 2016.

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. **VALIGN=BOTTOM>**

Puerto Rico Electric Power Authority,
Refunding RB, Series VV (NPFGC),
5.25%, 7/01/29

538,260

1,702,522

Total Municipal Bonds in Puerto Rico

17,696,167

Total Municipal Bonds 127.9%

247,470,662

**Municipal Bonds Transferred to
Tender Option Bond (TOB) Trusts (g)**

New York 29.9%

County/City/Special District/School District 0.5%

New York City Transitional Finance
Authority, RB, Future Tax Secured,
Sub-Series D1, 5.00%, 11/01/38

825

920,073

Housing 8.0%

Explanation of Responses:

New York Mortgage Agency, RB, 31st
Series A, AMT, 5.30%, 10/01/31

15,390

15,400,311

Transportation 11.8%

Hudson New York Yards Infrastructure
Corp., RB, Series A, 5.75%, 2/15/47

1,250

Explanation of Responses:

BLACKROCK NEW YORK MUNICIPAL INCOME TRUST

APRIL 30, 2012

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Schedule of Investments (continued)

BlackRock New York Municipal Income Trust (BNY)
(Percentages shown are based on Net Assets)

	Par (000)	Value
Municipal Bonds Transferred to Tender Option Bond (TOB) Trusts (g)		
New York (concluded)		
Transportation (concluded)		
New York Liberty Development Corp., RB, 1 World Trade Center Port Authority Construction, 5.25%, 12/15/43	\$ 6,495	\$ 7,298,107
New York Liberty Development Corp., Refunding RB:		
4 World Trade Center Project, 5.00%, 11/15/44	5,020	5,353,278
7 World Trade Center Project, Class 1, 4.00%, 9/15/35 (h)	4,260	4,255,996
7 World Trade Center Project, Class 1, 5.00%, 9/15/40	2,610	2,902,137
Port Authority of New York & New Jersey, RB, Consolidated 169th Series, AMT, 5.00%, 10/15/26	1,500	1,687,545
		22,907,651
Utilities 9.6%		
New York City Municipal Water Finance Authority, RB:		
Fiscal 2009, Series A, 5.75%, 6/15/40	1,200	1,420,390
Series FF-2, 5.50%, 6/15/40	810	925,378
New York City Municipal Water Finance Authority, Refunding RB:		
Second General Resolution, Fiscal 2012, Series BB, AMT, 5.00%, 6/15/44	3,511	3,856,786
Second General Resolution, Series HH, 5.00%, 6/15/32	5,310	6,074,587
Series A, 4.75%, 6/15/30	4,000	4,373,120
Suffolk County Water Authority, Refunding RB, 3.00%, 6/01/25	1,996	2,029,442
		18,679,703
Total Municipal Bonds in New York		57,907,738
Puerto Rico 0.9%		
State 0.9%		
Puerto Rico Sales Tax Financing Corp., Refunding RB, Series C, 5.25%, 8/01/40	1,520	1,663,184
Total Municipal Bonds Transferred to Tender Option Bond (TOB) Trusts 30.8%		59,570,922
Total Long-Term Investments (Cost \$292,747,578) 158.7%		307,041,584

	Par (000)	Value
Short-Term Securities		
New York 0.5%		

Explanation of Responses:

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New York City Municipal Water Finance
 Authority, Refunding RB, VRDN,
 Second General Resolution, Series
 DD-1 (TD Bank NA SBPA), 0.23%,
 5/01/12

\$ 970 \$ 970,000

	Shares	
Money Market Funds 3.5%		
BIF New York Municipal Money Fund, 0.00% (i)(j)	6,741,809	6,741,809
Total Short-Term Securities		7,711,809
(Cost \$7,711,809) 4.0%		314,753,393
Total Investments (Cost - \$300,459,387*) 162.7%		5,557,495
Other Assets Less Liabilities 2.9%		
Liability for TOB Trust Certificates, Including Interest		
Expense and Fees Payable (16.7)%		(32,361,652)
VMTP Shares, at Liquidation Value (48.9)%		(94,500,000)
Net Assets Applicable to Common Shares 100.0%		\$ 193,449,236

* As of April 30, 2012, gross unrealized appreciation and gross unrealized depreciation based on cost for federal income tax purposes were as follows:

Tax cost	\$ 267,391,869
Gross unrealized appreciation	\$ 16,246,392
Gross unrealized depreciation	(1,236,583)
Net unrealized appreciation	\$ 15,009,809

- (a) Variable rate security. Rate shown is as of report date.
- (b) Issuer filed for bankruptcy and/or is in default of interest payments.
- (c) Non-income producing security.
- (d) US government securities, held in escrow, are used to pay interest on this security, as well as to retire the bond in full at the date indicated, typically at a premium to par.
- (e) Represents a zero-coupon bond. Rate shown reflects the current yield as of report date.
- (f) Represents a step-up bond that pays an initial coupon rate for the first period and then a higher coupon rate for the following periods. Rate shown is as of report date.
- (g) Securities represent bonds transferred to a TOB in exchange for which the Trust acquired residual interest certificates. These securities serve as collateral in a financing transaction.
- (h) When-issued security. Unsettled when-issued transactions were as follows:

Counterparty	Value	Unrealized Appreciation
JPMorgan Securities	\$ 4,255,996	\$ 67,408

BLACKROCK NEW YORK MUNICIPAL INCOME TRUST

APRIL 30, 2012

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Schedule of Investments (continued)

BlackRock New York Municipal Income Trust (BNY)

- (i) Investments in companies considered to be an affiliate of the Trust during the period, for purposes of Section 2(a)(3) of the Investment Company Act of 1940, as amended, were as follows:

Affiliate	Shares Held at July 31, 2011	Net Activity	Shares Held at April 30, 2012	Income
BIF New York Municipal Money Fund	10,549,049	(3,807,240)	6,741,809	\$ 67

- (j) Represents the current yield as of report date.

For Trust compliance purposes, the Trust's sector classifications refer to any one or more of the sector sub-classifications used by one or more widely recognized market indexes or rating group indexes and/or as defined by Trust management. These definitions may not apply for purposes of this report, which may combine such sector sub-classifications for reporting ease.

Portfolio Abbreviations

To simplify the listings of portfolio holdings in the Schedule of Investments, the names and descriptions of many of the securities have been abbreviated according to the following list:

ACA	American Capital Access Corp.
AGC	Assured Guaranty Corp.
AGM	Assured Guaranty Municipal Corp.
AMBAC	American Municipal Bond Assurance Corp.
AMT	Alternative Minimum Tax (subject to)
BHAC	Berkshire Hathaway Assurance Corp.
CAB	Capital Appreciation Bonds
CIFG	CDC IXIS Financial Guaranty
EDC	Economic Development Corp.
ERB	Education Revenue Bonds
FHA	Federal Housing Administration
Freddie Mac	Federal Home Loan Mortgage Corporation
GO	General Obligation Bonds
HFA	Housing Finance Agency
LRB	Lease Revenue Bonds
MRB	Mortgage Revenue Bonds
NPFGC	National Public Finance Guarantee Corp.
PILOT	Payment in Lieu of Taxes
Radian	Radian Financial Guaranty
RB	Revenue Bonds
SBPA	Stand-by Bond Purchase Agreements
SONYMA	State of New York Mortgage Agency
VRDN	Variable Rate Demand Notes

Financial futures contracts sold as of April 30, 2012 were as follows:

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Contracts	Issue	Exchange	Expiration	Notional Value	Unrealized Depreciation
224	10-Year US Treasury Note	Chicago Board of Trade	June 2012	\$ 29,631,000	\$ (433,551)

Fair Value Measurements - Various inputs are used in determining the fair value of investments and derivative financial instruments. These inputs are categorized into a disclosure hierarchy consisting of three broad levels for financial reporting purposes as follows:

Level 1 unadjusted price quotations in active markets/exchanges for identical assets and liabilities

Level 2 other observable inputs (including, but not limited to: quoted prices for similar assets or liabilities in markets that are active, quoted prices for identical or similar assets or liabilities in markets that are not active, inputs other than quoted prices that are observable for the assets or liabilities (such as interest rates, yield curves, volatilities, prepayment speeds, loss severities, credit risks and default rates) or other market-corroborated inputs)

Level 3 unobservable inputs based on the best information available in the circumstances, to the extent observable inputs are not available (including the Trust's own assumptions used in determining the fair value of investments and derivative financial instruments)

Changes in valuation techniques may result in transfers into or out of an assigned level within the disclosure hierarchy. In accordance with the Trust's policy, transfers between different levels of the fair value disclosure hierarchy are deemed to have occurred as of the beginning of the reporting period. The categorization of a value determined for investments and derivative financial instruments is based on the pricing transparency of the investment and derivative financial instruments and is not necessarily an indication of the risks associated with investing in those securities. For information about the Trust's policy regarding valuation of investments and derivative financial instruments and other significant accounting policies, please refer to the Trust's most recent financial statements as contained in its semi-annual report.

The following tables summarize the inputs used as of April 30, 2012 in determining the fair valuation of the Trust's investments and derivative financial instruments:

Valuation Inputs	Level 1	Level 2	Level 3	Total
Assets:				
Investments:				
Long-Term Investments ¹		\$ 307,041,584		307,041,584
Short-Term Securities	\$ 6,741,809	970,000		7,711,809
Total	\$ 6,741,809	\$ 308,011,584		\$ 314,753,393

¹ See above Schedule of Investments for values in each sector.

Schedule of Investments (concluded)

BlackRock New York Municipal Income Trust (BNY)

Valuation Inputs	Level 1	Level 2	Level 3	Total
Derivative Financial Instruments ²				
Liabilities:				
Interest rate contracts	\$ (433,551)			\$ (433,551)

² Derivative financial instruments are financial futures contracts, which are valued at the unrealized appreciation/depreciation on the instrument.

Certain of the Trust's assets and liabilities are held at carrying amount which approximates fair value. Such assets and liabilities are categorized within the disclosure hierarchy as follows:

Valuation Inputs	Level 1	Level 2	Level 3	Total
Assets:				
Cash pledged as collateral for financial futures contracts	\$ 296,000			\$ 296,000
Liabilities:				
TOB trust certificates		\$ (32,351,715)		(32,351,715)
VMTP Shares		(94,500,000)		(94,500,000)
Total	\$ 296,000	\$ (126,851,715)		\$ (126,555,715)

There were no transfers between levels during the period ended April 30, 2012.

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Item 2 – Controls and Procedures

- 2(a) – The registrant’s principal executive and principal financial officers, or persons performing similar functions, have concluded that the registrant’s disclosure controls and procedures (as defined in Rule 30a-3(c) under the Investment Company Act of 1940, as amended (the “1940 Act”)) are effective as of a date within 90 days of the filing of this report based on the evaluation of these controls and procedures required by Rule 30a-3(b) under the 1940 Act and Rule 13a-15(b) under the Securities Exchange Act of 1934, as amended.
- 2(b) – There were no changes in the registrant’s internal control over financial reporting (as defined in Rule 30a-3(d) under the 1940 Act) that occurred during the registrant’s last fiscal quarter that have materially affected, or are reasonably likely to materially affect, the registrant’s internal control over financial reporting.

Item 3 – Exhibits

Certifications – Attached hereto

Pursuant to the requirements of the Securities Exchange Act of 1934 and the Investment Company Act of 1940, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

BlackRock New York Municipal Income Trust

By: /s/ John M. Perlowski
John M. Perlowski
Chief Executive Officer (principal executive officer) of
BlackRock New York Municipal Income Trust

Date: June 22, 2012

Pursuant to the requirements of the Securities Exchange Act of 1934 and the Investment Company Act of 1940, this report has been signed below by the following persons on behalf of the registrant and in the capacities and on the dates indicated.

By: /s/ John M. Perlowski
John M. Perlowski
Chief Executive Officer (principal executive officer) of
BlackRock New York Municipal Income Trust

Date: June 22, 2012

By: /s/ Neal J. Andrews
Neal J. Andrews
Chief Financial Officer (principal financial officer) of
BlackRock New York Municipal Income Trust

Date: June 22, 2012

