

TAIWAN FUND INC
Form 3
April 07, 2017

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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 * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| Â CITY OF LONDON INVESTMENT GROUP PLC | | (Month/Day/Year) 03/28/2017 | TAIWAN FUND INC [TWN] | |
| (Last) | (First) | (Middle) | 4. Relationship of Reporting Person(s) to Issuer | |
| 77 GRACECHURCH STREET, Â LONDON ENGLAND | | | (Check all applicable) | |
| (Street) | | | <input type="checkbox"/> Director <input checked="" type="checkbox"/> 10% Owner <input type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below) | |
| LONDON, Â X0 Â EC3V0AS | | | 5. If Amendment, Date Original Filed(Month/Day/Year) | |
| (City) | (State) | (Zip) | 6. Individual or Joint/Group Filing(Check Applicable Line) <input type="checkbox"/> Form filed by One Reporting Person <input checked="" type="checkbox"/> 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) |
|--|--|---|--|
| Common Stock, par value \$.01 per share ⁽¹⁾ | 238,672 ⁽¹²⁾ | I | As investment adviser to a private investment fund ⁽¹³⁾ |
| Common Stock, par value \$.01 per share ⁽²⁾ | 112,112 ⁽¹²⁾ | I | As investment adviser to a private investment fund ⁽¹³⁾ |
| Common Stock, par value \$.01 per share ⁽³⁾ | 236,418 ⁽¹²⁾ | I | As investment adviser to a private investment fund ⁽¹³⁾ |
| Common Stock, par value \$.01 per share ⁽⁴⁾ | 200,986 ⁽¹²⁾ | I | As investment adviser to a private investment fund ⁽¹³⁾ |
| Common Stock, par value \$.01 per share ⁽⁵⁾ | 239,287 ⁽¹²⁾ | I | As investment adviser to a private investment fund ⁽¹³⁾ |
| Common Stock, par value \$.01 per share ⁽⁶⁾ | 179,550 ⁽¹²⁾ | I | |

| | | | |
|---|---------------------------|---|---|
| | | | As investment adviser to a Dublin, Ireland-listed open-ended investment company ⁽¹³⁾ |
| Common Stock, par value \$.01 per share ⁽⁷⁾ | 243,552 ⁽¹²⁾ | I | As investment adviser to a private investment fund ⁽¹³⁾ |
| Common Stock, par value \$.01 per share ⁽⁸⁾ | 236,130 ⁽¹²⁾ | I | As investment adviser to a private investment fund ⁽¹³⁾ |
| Common Stock, par value \$.01 per share ⁽⁹⁾ | 51,325 ⁽¹²⁾ | I | As investment adviser to a private investment fund ⁽¹³⁾ |
| Common Stock, par value \$.01 per share ⁽¹⁰⁾ | 81,000 ⁽¹²⁾ | I | As investment adviser to a private investment fund ⁽¹³⁾ |
| Common Stock, par value \$.01 per share ⁽¹¹⁾ | 1,662,176 ⁽¹²⁾ | I | As investment adviser to unaffiliated third-party segregated accounts ⁽¹³⁾ |

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 Security | 5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5) | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---|---|-----------------|--|--|--|--|
| | Date Exercisable | Expiration Date | | | | |
| | | | Title | Amount or Number of Shares | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| CITY OF LONDON INVESTMENT GROUP PLC 77 GRACECHURCH STREET LONDON ENGLAND LONDON, X0 EC3V0AS | Â | Â X | Â | Â |
| CITY OF LONDON INVESTMENT MANAGEMENT CO LTD 77 GRACECHURCH STREET LONDON ENGLAND LONDON, X0 EC3V0AS | Â | Â X | Â | Â |

Signatures

| | |
|---|------------|
| /s/ Barry Olliff, Director - City of London Group PLC | 04/07/2017 |
| **Signature of Reporting Person | Date |
| /s/ Barry Olliff, Director - City of London Investment Management | 04/07/2017 |
| **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).
- (1) These securities are beneficially owned by Emerging (BMI) Markets Country Fund.
- (2) These securities are beneficially owned by Emerging Markets Free Fund.
- (3) These securities are beneficially owned by Emerging Markets Global Fund.
- (4) These securities are beneficially owned by Emerging Markets Investable Fund.
- (5) These securities are beneficially owned by Global Emerging Markets Fund.
- (6) These securities are beneficially owned by The Emerging World Fund.
- (7) These securities are beneficially owned by Emerging Free Markets Country Fund.
- (8) These securities are beneficially owned by Emerging Markets Country Fund.
- (9) These securities are beneficially owned by Investable Emerging Markets Country Fund.
- (10) These securities are beneficially owned by The EM Plus CEF Fund.
- (11) These securities are beneficially owned by 12 unaffiliated third-party segregated accounts.
- (12) No one direct beneficial owner of the reported securities owns more than 5% of the outstanding securities of Issuer.

As of the date hereof, City of London Group PLC ("CLIG"), through its control of City of London Investment Management Company Limited ("CLIM"), and CLIM, in its capacity as investment adviser to the funds listed above and the 12 unaffiliated third-party segregated accounts, have voting and dispositive power with respect to all of the reported 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.