#### Edgar Filing: CITY OF LONDON INVESTMENT GROUP PLC - Form 4

CITY OF LONDON INVESTMENT GROUP PLC Form 4 June 13, 2018 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading CITY OF LONDON INVESTMENT Issuer Symbol **GROUP PLC** TEMPLETON DRAGON FUND (Check all applicable) INC [TDF] (Last) (First) (Middle) 3. Date of Earliest Transaction Director X\_\_ 10% Owner Other (specify Officer (give title (Month/Day/Year) below) below) 77 GRACECHURCH STREET 06/12/2018 (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) Form filed by One Reporting Person \_X\_ Form filed by More than One Reporting LONDON, X0 EC3V0AS Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 7. Nature of 3. 4. Securities Acquired 5. Amount of 6. Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities Ownership Indirect (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial any (Month/Day/Year) (Instr. 8) Owned Direct (D) Ownership Following or Indirect (Instr. 4) Reported (I) (A) Transaction(s) (Instr. 4) or (Instr. 3 and 4) Code V Amount (D) Price Common As investment Stock, par adviser to a 927,652 (13) I value \$.01 private per share investment (1) fund (14) Common As investment Stock, par adviser to a value \$.01 338,032<sup>(13)</sup> I private per share investment fund (14) (2) Common 796,525 (13) I As investment Stock, par adviser to a

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value \$.01 per share $(3)$								private investment fund <u>(14)</u>
Common Stock, par value $.01$ per share (4)						491,741 <u>(13)</u>	I	As investment adviser to a private investment fund $(14)$
Common Stock, par value $.01$ per share (5)						856,729 <u>(13)</u>	I	As investment adviser to a private investment fund $(14)$
Common Stock, par value $.01$ per share (6)						283,373 <u>(13)</u>	I	As investment adviser to a Dublin, Ireland-listed open-ended investment company (14)
Common Stock, par value $.01$ per share (7)						593,652 <u>(13)</u>	I	As investment adviser to a private investment fund $(14)$
Common Stock, par value $.01$ per share (8)						958,336 <u>(13)</u>	I	As investment adviser to a private investment fund $(14)$
Common Stock, par value $.01$ per share (9)						159,406 (13)	I	As investment adviser to a private investment fund $(14)$
Common Stock, par value $$.01$ per share (10)						160,035 <u>(13)</u>	Ι	As investment adviser to a private investment fund $(14)$
Common Stock, par value \$.01 per share (11)						148,680 <u>(13)</u>	I	As investment adviser to a private investment fund $(14)$
	06/12/2018	06/12/2018	Р	8,155	А		Ι	

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Common Stock, par value \$.01 per share (12)	\$ 3,726,607 22.87 (13)	As investment adviser to unaffiliated third-party segregated accounts $(14)$
Reminder: Report on a separate line for each class of securities ben Table II - Derivative Securities Ac ( <i>e.g.</i> , puts, calls, warran	ection of SEC 1474 n are not (9-02) orm ontrol	

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. Transactiv Code (Instr. 8)	5. of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	Secur	ınt of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

# **Reporting Owners**

<b>Reporting Owner Name / Address</b>		Relationships					
Formage of the comment of the comment	Director	10% Owner	Officer	Other			
CITY OF LONDON INVESTMENT GROUP PLC 77 GRACECHURCH STREET LONDON, X0 EC3V0AS		Х					
CITY OF LONDON INVESTMENT MANAGEMENT CO LTD 77 GRACECHURCH STREET LONDON, X0 EC3V0AS		Х					
Signatures							
/s/ Barry M. Olliff, Director - City of London Group PLC			(	06/13/2018			
<u>**</u> Signature of Reporting Person				Date			
/s/ Barry M. Olliff, Director - City of London Investment Managem Limited	nent Comj	pany	(	)6/13/2018			

\*\*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) 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 EM Special Situations CEF Focused Fund.
- (12) These securities are beneficially owned by 13 unaffiliated third-party segregated accounts.
- (13) 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
(14) Limited ("CLIM"), and CLIM, in its capacity as investment adviser to the funds listed above and the 13 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.