CITY OF LONDON INVESTMENT GROUP PLC Form 4 December 11, 2017 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** CHINA FUND INC [CHN] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) Director \_ 10% Owner Other (specify Officer (give title 77 GRACECHURCH 12/08/2017 below) below) STREET. LONDON ENGLAND (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 4. Securities Acquired 5. Amount of 7. Nature of 3. 6. Transaction(A) or Disposed of (D) Security (Month/Day/Year) Execution Date, if 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 308,857 (12) I value \$.01 private per share investment (1) fund (13) As investment Common Stock, par adviser to a Р 1.000 A 105.121<sup>(12)</sup> I value \$.01 12/08/2017 12/08/2017 private 21 18 per share investment fund (13) (2) 250.030 (12) As investment Common Ι adviser to a Stock, par

value $\$.01$ per share $(3)$		private investment fund $(13)$
Common Stock, par value \$.01 per share (4)	172,029 <u>(12)</u> I	As investment adviser to a private investment fund $(13)$
Common Stock, par value \$.01 per share (5)	321,486 <u>(12)</u> I	As investment adviser to a private investment fund $(13)$
Common Stock, par value \$.01 per share ( <u>6)</u>	168,067 <u>(12)</u> I	As investment adviser to a Dublin, Ireland-listed open-ended investment company (13)
Common Stock, par value \$.01 per share (7)	149,936 <u>(12)</u> I	As investment adviser to a private investment fund $(13)$
Common Stock, par value \$.01 per share (8)	305,041 <u>(12)</u> I	As investment adviser to a private investment fund $(13)$
Common Stock, par value \$.01 per share (9)	46,658 <u>(12)</u> I	As investment adviser to a private investment fund $(13)$
Common Stock, par value \$.01 per share (10)	42,096 <u>(12)</u> I	As investment adviser to a private investment fund $(13)$
Common Stock, par value \$.01 per share (11)	2,240,561 (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.

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

# **Reporting Owners**

Reporting Owner Name / Address	Relationships				
Reporting Owner Funce / Funcess		10% Owner	Officer	Other	
CITY OF LONDON INVESTMENT GROUP PLC 77 GRACECHURCH STREET LONDON ENGLAND LONDON, X0 EC3V0AS		Х			
CITY OF LONDON INVESTMENT MANAGEMENT CO LTD 77 GRACECHURCH STREET LONDON ENGLAND LONDON, X0 EC3V0AS		Х			
Signatures					
/s/ Barry Olliff, Director - City of London Group PLC			12/1	1/2017	
<u>**</u> Signature of Reporting Person			D	Date	
/s/ Barry Olliff, Director - City of London Investment Management Limited	Compan	у	12/1	1/2017	
<u>**</u> Signature of Reporting Person			D	Date	
Evaluation of Doononooou					

# **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 14 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
 (13) Limited ("CLIM"), and CLIM, in its capacity as investment adviser to the funds listed above and the 14 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.