CITY OF LONDON INVESTMENT GROUP PLC

Form 4 May 07, 2018

FORM 4

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

Check this box if no longer

subject to Section 16. Form 4 or

Form 5 obligations

may continue. See Instruction

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

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 * CITY OF LONDON INVESTMENT **GROUP PLC**

(Last)

(First)

(Street)

77 GRACECHURCH STREET

(Middle)

2. Issuer Name and Ticker or Trading Symbol

KOREA FUND INC [KF]

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

05/04/2018

4. If Amendment, Date Original

Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

OMB

Number:

Expires:

response...

OMB APPROVAL

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

Director X__ 10% Owner Other (specify Officer (give title

below)

Applicable Line)

Form filed by One Reporting Person _X_ Form filed by More than One Reporting

6. Individual or Joint/Group Filing(Check

Person

LONDON, X0 EC3V0AS

| (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. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8) (Instr. 8) (A) or Code V Amount (D) 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | Ownership Form: Direct (D) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | | | | |
| Common Stock, par value \$.01 per share (1) | | | 246,248 (12) | I | As investment adviser to a private investment fund (13) | | | | |
| Common Stock, par value \$.01 per share (2) | | | 67,241 (12) | I | As investment adviser to a private investment fund (13) | | | | |

| Common Stock, par value \$.01 per share (3) | | | | | 163,103 (12) | I | As investment adviser to a private investment fund (13) |
|--|------------|---|----------|-------------|--------------|---|--|
| Common Stock, par value \$.01 per share (4) | | | | | 135,452 (12) | I | As investment adviser to a private investment fund (13) |
| Common Stock, par value \$.01 per share (5) | | | | | 105,424 (12) | Ĭ | As investment adviser to a private investment fund (13) |
| Common Stock, par value 05/04/2018 \$.01 per share (6) | 05/04/2018 | S | 10,000 D | \$ 41.47 | 96,019 (12) | I | As investment adviser to a Dublin, Ireland-listed open-ended investment company (13) |
| Common Stock, par value \$.01 per share (7) | | | | | 122,221 (12) | I | As investment adviser to a private investment fund (13) |
| Common Stock, par value \$.01 per share (8) | | | | | 186,578 (12) | I | As investment adviser to a private investment fund (13) |
| Common Stock, par value \$.01 per share (9) | | | | | 24,022 (12) | I | As investment adviser to a private investment fund (13) |
| Common Stock, par value | | | | | 21,647 (12) | I | As investment adviser to a |

| \$.01 per share (10) | | private investment fund (13) |
|--|-----------------------|--|
| Common Stock, par value \$.01 per share (11) | 838,835 <u>(12)</u> 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.

SEC 1474 (9-02)

> 9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

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

| | 1. Title of | 2. | 3. Transaction Date | 3A. Deemed | 4. | 5. | 6. Date Exerc | isable and | 7. Titl | e and | 8. Price of | |
|---|-------------|-------------|---------------------|--------------------|------------|------------|---------------|------------|---------|----------|-------------|---|
|] | Derivative | Conversion | (Month/Day/Year) | Execution Date, if | Transact | ionNumber | Expiration Da | ite | Amou | nt of | Derivative | Į |
| ; | Security | or Exercise | | any | Code | of | (Month/Day/ | Year) | Under | lying | Security | |
| (| (Instr. 3) | Price of | | (Month/Day/Year) | (Instr. 8) | Derivativ | e | | Securi | ties | (Instr. 5) | |
| | | Derivative | | | | Securities | 3 | | (Instr. | 3 and 4) | | |
| | | Security | | | | Acquired | | | | | | Į |
| | | | | | | (A) or | | | | | | ļ |
| | | | | | | Disposed | | | | | | |
| | | | | | | of (D) | | | | | | |
| | | | | | | (Instr. 3, | | | | | | |
| | | | | | | 4, and 5) | | | | | | |
| | | | | | | | | | | Amount | | |
| | | | | | | | | | | or | | |
| | | | | | | | Date | Expiration | | Number | | |
| | | | | | | | Exercisable | Date | | of | | |
| | | | | | Code V | (A) (D) | | | | Shares | | |

Reporting Owners

| Reporting Owner Name / Address | | Relationships | | | | | |
|--|----------|---------------|---------|-------|--|--|--|
| 1 | Director | 10% Owner | Officer | Other | | | |
| CITY OF LONDON INVESTMENT GROUP PLC 77 GRACECHURCH STREET LONDON, X0 EC3V0AS | | X | | | | | |
| CITY OF LONDON INVESTMENT MANAGEMENT CO LTD 77 GRACECHURCH STREET LONDON, X0 EC3V0AS | | X | | | | | |

Reporting Owners 3

Date

Signatures

/s/ Thomas Griffith, Director - City of London Group PLC 05/07/2018

**Signature of Reporting Person

/s/ Thomas Griffith, Director - City of London Investment

Management

05/07/2018

**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 10 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 10 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.

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