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

CITY OF LONDON INVESTMENT GROUP PLC Form 4 October 17, 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** MORGAN STANLEY INDIA (Check all applicable) **INVESTMENT FUND, INC. [IIF]** (Last) (First) (Middle) 3. Date of Earliest Transaction Director X\_\_ 10% Owner Other (specify Officer (give title (Month/Day/Year) below) below) 77 GRACECHURCH 10/13/2017 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 5. Amount of 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 6. 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities Ownership Indirect (Instr. 3) anv Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial (Month/Day/Year) Owned Direct (D) Ownership (Instr. 8) Following or Indirect (Instr. 4) Reported (I)(A) Transaction(s) (Instr. 4) or (Instr. 3 and 4) Price Code V Amount (D) As Common investment Stock, par adviser to a 432,665 (12) I value private \$.01 per investment share <sup>(1)</sup> fund (13) 131.011<sup>(12)</sup> I Common As Stock, par investment value adviser to a \$.01 per private share (2)investment

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									fund (13)
Common Stock, par value .01 per share $(3)$							423,052 <u>(12)</u>	I	As investment adviser to a private investment fund $(13)$
Common Stock, par value \$.01 per share (4)	10/16/2017	10/16/2017	S	12,233	D	\$ 36.64	310,766 <u>(12)</u>	I	As investment adviser to a private investment fund $(13)$
Common Stock, par value \$.01 per share (5)							234,879 <u>(12)</u>	I	As investment adviser to a private investment fund $(13)$
Common Stock, par value \$.01 per share <u>(6)</u>							176,790 <u>(12)</u>	Ι	As investment adviser to a Dublin, Ireland-listed open-ended investment company (13)
Common Stock, par value \$.01 per share (7)	10/13/2017	10/13/2017	S	3,670	D	\$ 36.54	245,728 <u>(12)</u>	I	As investment adviser to a private investment fund $(13)$
Common Stock, par value \$.01 per share (7)	10/16/2017	10/16/2017	S	7,646	D	\$ 36.64	238,082 (12)	I	As investment adviser to a private investment fund $(13)$
Common Stock, par value \$.01 per share (8)							430,498 <u>(12)</u>	I	As investment adviser to a private investment fund $(13)$
Common Stock, par							82,608 (12)	Ι	As investment

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value \$.01 per share (9)			adviser to a private investment fund <u>(13)</u>				
Common Stock, par value \$.01 per share (10)	50,565 <u>(12)</u>	I	As investment adviser to a private investment fund $(13)$				
Common Stock, par value \$.01 per share (11)	1,725,254 (12)	Ι	As investment adviser to unaffiliated third-party segregated accounts (13)				
Reminder: Report on a separate line for each class of securities be	neficially 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	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exer	cisable and	7. Tit	le and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionNumber		Expiration D	Expiration Date		unt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Unde	rlying	Security	Secu
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Secur	rities	(Instr. 5)	Bene
	Derivative				Securities			(Instr	. 3 and 4)		Owne
	Security				Acquired						Follo
					(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									Amount		
						Date	Expiration	<b>m</b> . 1	or		
						Exercisable	Date	Title	Number		
									of		
				Code V	(A) (D)				Shares		

# **Reporting Owners**

**Reporting Owner Name / Address** 

### Relationships

Director 10% Owner Officer Other

Х

CITY OF LONDON INVESTMENT GROUP PLC 77 GRACECHURCH STREET

**Reporting Owners** 

#### LONDON ENGLAND LONDON, X0 EC3V0AS CITY OF LONDON INVESTMENT MANAGEMENT CO LTD 77 GRACECHURCH STREET Х LONDON ENGLAND LONDON, X0 EC3V0AS Signatures /s/ Barry M. Olliff, Director - City of London Group PLC 10/17/2017 \*\*Signature of Reporting Person Date /s/ Barry M. Olliff, Director - City of London Investment 10/17/2017 Management \*\*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 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

(13) 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.