Edgar Filing: TAIWAN FUND INC - Form 3

TAIWAN FUND INC

Form 3

March 03, 2014

FORM 3

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

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF

OMB Number:

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January 31, Expires:

2005

OMB APPROVAL

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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 *

Statement

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

Allianz Global Investors U.S.

(Month/Day/Year)

TAIWAN FUND INC [TWN]

LLC

02/21/2014

(Last)

(Middle)

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

1633 BROADWAY

(Street)

(First)

(Check all applicable)

6. Individual or Joint/Group

Director 10% Owner _X__ Other Officer (give title below) (specify below)

Filing(Check Applicable Line) _X_ Form filed by One Reporting Person

Form filed by More than One

Affiliated Entity Reporting Person

NEW YORK, NYÂ 10019

(City) (State) (Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form: Direct (D)

4. Nature of Indirect Beneficial

Ownership (Instr. 5)

or Indirect (I)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

(Instr. 5)

SEC 1473 (7-02)

4.

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)

Exercisable

3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)

Conversion or Exercise

Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Date

Expiration Title Date

Amount or Number of Shares

Price of Derivative Security

Direct (D) or Indirect (I)

Security:

1

(Instr. 5)

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Allianz Global Investors U.S. LLC 1633 BROADWAY NEW YORK, NYÂ 10019

 \hat{A} \hat{A} \hat{A} Affiliated Entity

Signatures

/s/ David C. Owen, Chief Legal Officer

03/03/2014

**Signature of Reporting Person

Date

Explanation of Responses:

No securities are beneficially owned

- * 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).

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Remarks:

Allianz Global Investors U.S. LLC is the Issuer's adviser.

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. DateTitleAmount or Number of Shares Options (Right to Buy) \$ 17.5303/17/2006 A 1,512 12/31/200803/17/2016 Common Stock 1,512 $\frac{(1)}{5}$ \$ 0 1,512 D Option (Right to Buy) \$ 17.5303/17/2006 A 16,667 12/31/200603/17/2016 Common Stock 16,667 $\frac{(1)}{5}$ \$ 0 16,667 D Option (Right to Buy) \$ 17.5303/17/2006 A 16,666 12/31/200703/17/2016 Common Stock 16,666 $\frac{(1)}{5}$ \$ 0 33,333 D Option (Right to Buy) \$ 17.5303/17/2006 A 15,155 12/31/200803/17/2016 Common Stock 15,155 $\frac{(1)}{5}$ \$ 0 48,488 D

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Van de Ven Michael G C/O SOUTHWEST AIRLINES CO PO BOX 36611 DALLAS, TX 75235 1611

EVP - Aircraft Operations

Signatures

On behalf of and attorney-in-fact for Michael G. Van de Ven /s/ Deborah Ackerman

03/21/2006

**Signature of Reporting Person

Date

Reporting Owners 2

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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) Options granted under the 1996 ISO Plan.

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