SWISS HELVETIA FUND, INC.

Form 4 July 09, 2014

# FORM 4

subject to

Section 16.

Form 4 or

obligations

may continue.

Form 5

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

Check this box if no longer

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **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

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* TAKACSY ALEXANDRE

2. Issuer Name and Ticker or Trading

Symbol

SWISS HELVETIA FUND, INC.

[SWZ]

(Last) (First) (Middle) 3. Date of Earliest Transaction

(Month/Day/Year) 06/27/2014

FINANCIERE HOTTINGUER, 43 **RUE TAITBOUT** 

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year)

Applicable Line) \_X\_ Form filed by One Reporting Person

6. Individual or Joint/Group Filing(Check

5. Relationship of Reporting Person(s) to

(Check all applicable)

Former Director

below)

10% Owner \_X\_ Other (specify

Form filed by More than One Reporting

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

Issuer

below)

Director

Officer (give title

PARIS FRANCE 75009, IO 0000

(City) (State) (Zip) 1. Title of 2. Transaction Date 2A. Deemed

Security

(Instr. 3)

3. 4. Securities (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Code Disposed of (D)

(Instr. 3, 4 and 5) (Month/Day/Year) (Instr. 8)

Securities Owned Following

5. Amount of Beneficially

6. Ownership 7. Nature of Form: Direct Indirect (D) or Indirect Beneficial Ownership (I) (Instr. 4) (Instr. 4)

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

Estimated average

burden hours per

Reported Transaction(s) (Instr. 3 and 4)

Code V Amount (D) Price

(A)

or

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)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)

3. Transaction Date 3A. Deemed 1. Title of (Month/Day/Year) Execution Date, if TransactionNumber Derivative Conversion

5.

6. Date Exercisable and **Expiration Date** 

7. Title and Amount of

8. Price of 9. Nu Derivative Deriv

1

#### Edgar Filing: SWISS HELVETIA FUND, INC. - Form 4

Security	or Exercise	any	Code	of		(Month/Day	/Year)	Unde	rlying	Security	Secui
(Instr. 3)	Price of	(Month/Day/Year)	(Instr. 8	) Deri	Derivative Securities Acquired (A) or Disposed			Securities		(Instr. 5)	Bene
	Derivative			Seci				(Instr. 3 and 4)	. 3 and 4)	(i)	Owne
	Security			Acq							Follo
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											Trans
				of (I	<b>O</b> )						(Instr
				`	(Instr. 3,						· ·
				4, ar	nd 5)						
			Code	<b>S</b> 7 (A)	(D)	Data	Evniration	Title	Amount		
			Code	v (A)	(D)	Date Exercisable	Expiration Date	Title			
									or		
						Number					
									of		
									Shares		

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

TAKACSY ALEXANDRE FINANCIERE HOTTINGUER 43 RUE TAITBOUT PARIS FRANCE 75009, IO 0000

Former Director

## **Signatures**

Rudolf Millisits 07/09/2014

\*\*Signature of 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).

#### **Remarks:**

Mr. de Takacsy resigned as a Director of The Swiss Helvetia Fund, Inc. (the "Fund") effective as of 06/27/2014 following the 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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