

Edgar Filing: SWISS HELVETIA FUND, INC. - Form NSAR-A

SWISS HELVETIA FUND, INC.

Form NSAR-A

August 29, 2016

000 A000000 06/30/2016
000 C000000 0000813623
000 D000000 N
000 E000000 NF
000 F000000 Y
000 G000000 N
000 H000000 N
000 I000000 6.1
000 J000000 A
001 A000000 The Swiss Helvetia Fund, Inc.
001 B000000 811-05128
001 C000000 8007302932
002 A000000 875 Third Avenue, 22nd Floor
002 B000000 New York
002 C000000 NY
002 D010000 10022
003 000000 N
004 000000 N
005 000000 N
006 000000 N
007 A000000 N
007 B000000 0
008 A000001 SCHRODER INVESTMENT MANAGEMENT N.A. INC.
008 B000001 A
008 C000001 801-15834
008 D010001 NEW YORK
008 D020001 NY
008 D030001 10022
008 A000002 SCHRODER INVESTMENT MANAGEMENT N.A. LTD.
008 B000002 S
008 C000002 801-37163
008 D010002 LONDON
008 D050002 UNITED KINGDOM
008 D060002 EC2V 7QA
010 A000001 J.P. MORGAN INVESTOR SERVICES CO.
010 B000001 84-17190
010 C010001 BOSTON
010 C020001 MA
010 C030001 02108
012 A000001 AMERICAN STOCK TRANSFER & TRUST COMPANY
012 B000001 84-00416
012 C010001 NEW YORK
012 C020001 NY
012 C030001 10038
013 A000001 PRICewaterhouseCOOPERS LLP
013 B010001 PHILADELPHIA
013 B020001 PA
013 B030001 19103
014 A000001 SCHRODER FUND ADVISORS LLC
014 B000001 8-40973
015 A000001 J.P. MORGAN CHASE BANK
015 B000001 S
015 C010001 NEW YORK
015 C020001 NY
015 C030001 10081
018 000000 Y
019 A000000 N
019 B000000
020 A000001 UBS AG

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020 B000001 13-3873456
 020 C000001 10
 020 A000002 JPMORGAN CHASE & CO
 020 B000002 13-3224022
 020 C000002
 020 A000003 BANK OF AMERICA CORP.
 020 B000003 56-2058405
 020 C000003 7
 020 A000004 CREDIT SUISSE GROUP
 020 B000004 13-2853402
 020 C000004 6
 020 A000005 Investment Technology Group
 020 B000005 13-3757717
 020 C000005 5
 020 A000006 HSBC HOLDINGS PLC
 020 B000006 13-2650272
 020 C000006 4
 020 A000007 BARCLAYS CAPITAL, INC.
 020 B000007 13-4942190
 020 C000007 3
 020 A000008 MORGAN STANLEY & CO., INC.
 020 B000008 13-2655998
 020 C000008 3
 020 A000009 VONTOBEL HOLDING AG
 020 B000009 00-0000000
 020 C000009 2
 020 A000010 CITIGROUP, INC.
 020 B000010 11-2418067
 020 C000010 2
 021 000000 58
 022 A000001 CREDIT SUISSE GROUP
 022 B000001 13-2853402
 022 C000001 1097
 022 D000001 0
 023 C000000 1326
 023 D000000 0
 024 000000 Y
 025 A000001 CREDIT SUISSE GROUP
 025 B000001 13-2853402
 025 C000001 E
 025 D000001 4854
 025 A000002 UBS AG
 025 B000002 13-3873456
 025 C000002 E
 025 D000002 10895
 026 A000000 N
 026 B000000 Y
 026 C000000 N
 026 D000000 Y
 026 E000000 N
 026 F000000 N
 026 G010000 N
 026 G020000 N
 026 H000000 N
 027 000000 N
 045 000000 Y
 046 000000 N
 047 000000 Y
 048 000000 0.000
 048 A010000 250000
 048 A020000 0.700
 048 B010000 350000

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| | | |
|-----|---------|--------|
| 048 | B020000 | 0.600 |
| 048 | C010000 | 450000 |
| 048 | C020000 | 0.550 |
| 048 | D010000 | 550000 |
| 048 | D020000 | 0.500 |
| 048 | E010000 | 0 |
| 048 | E020000 | 0.000 |
| 048 | F010000 | 0 |
| 048 | F020000 | 0.000 |
| 048 | G010000 | 0 |
| 048 | G020000 | 0.000 |
| 048 | H010000 | 0 |
| 048 | H020000 | 0.000 |
| 048 | I010000 | 0 |
| 048 | I020000 | 0.000 |
| 048 | J010000 | 0 |
| 048 | J020000 | 0.000 |
| 048 | K010000 | 550000 |
| 048 | K020000 | 0.450 |
| 049 | 000000 | N |
| 050 | 000000 | N |
| 051 | 000000 | N |
| 052 | 000000 | N |
| 053 | A000000 | N |
| 054 | A000000 | Y |
| 054 | B000000 | N |
| 054 | C000000 | N |
| 054 | D000000 | N |
| 054 | E000000 | N |
| 054 | F000000 | N |
| 054 | G000000 | N |
| 054 | H000000 | Y |
| 054 | I000000 | N |
| 054 | J000000 | Y |
| 054 | K000000 | N |
| 054 | L000000 | N |
| 054 | M000000 | Y |
| 054 | N000000 | N |
| 054 | O000000 | N |
| 055 | A000000 | N |
| 055 | B000000 | N |
| 056 | 000000 | Y |
| 057 | 000000 | N |
| 058 | A000000 | N |
| 059 | 000000 | Y |
| 060 | A000000 | N |
| 060 | B000000 | N |
| 061 | 000000 | 0 |
| 062 | A000000 | N |
| 062 | B000000 | 0.0 |
| 062 | C000000 | 0.0 |
| 062 | D000000 | 0.0 |
| 062 | E000000 | 0.0 |
| 062 | F000000 | 0.0 |
| 062 | G000000 | 0.0 |
| 062 | H000000 | 0.0 |
| 062 | I000000 | 0.0 |
| 062 | J000000 | 0.0 |
| 062 | K000000 | 0.0 |
| 062 | L000000 | 0.0 |
| 062 | M000000 | 0.0 |
| 062 | N000000 | 0.0 |

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| | | |
|-----|---------|--------|
| 062 | O000000 | 0.0 |
| 062 | P000000 | 0.0 |
| 062 | Q000000 | 0.0 |
| 062 | R000000 | 0.0 |
| 066 | A000000 | Y |
| 066 | B000000 | N |
| 066 | C000000 | Y |
| 066 | D000000 | N |
| 066 | E000000 | N |
| 066 | F000000 | N |
| 066 | G000000 | N |
| 067 | 0000000 | N |
| 068 | A000000 | N |
| 068 | B000000 | Y |
| 069 | 0000000 | N |
| 070 | A010000 | Y |
| 070 | A020000 | N |
| 070 | B010000 | Y |
| 070 | B020000 | N |
| 070 | C010000 | Y |
| 070 | C020000 | N |
| 070 | D010000 | Y |
| 070 | D020000 | N |
| 070 | E010000 | N |
| 070 | E020000 | N |
| 070 | F010000 | N |
| 070 | F020000 | N |
| 070 | G010000 | N |
| 070 | G020000 | N |
| 070 | H010000 | N |
| 070 | H020000 | N |
| 070 | I010000 | N |
| 070 | I020000 | N |
| 070 | J010000 | Y |
| 070 | J020000 | Y |
| 070 | K010000 | Y |
| 070 | K020000 | Y |
| 070 | L010000 | Y |
| 070 | L020000 | Y |
| 070 | M010000 | Y |
| 070 | M020000 | Y |
| 070 | N010000 | Y |
| 070 | N020000 | N |
| 070 | O010000 | Y |
| 070 | O020000 | N |
| 070 | P010000 | N |
| 070 | P020000 | N |
| 070 | Q010000 | N |
| 070 | Q020000 | N |
| 070 | R010000 | N |
| 070 | R020000 | N |
| 071 | A000000 | 30208 |
| 071 | B000000 | 39498 |
| 071 | C000000 | 322570 |
| 071 | D000000 | 9 |
| 072 | A000000 | 6 |
| 072 | B000000 | 0 |
| 072 | C000000 | 7113 |
| 072 | D000000 | 0 |
| 072 | E000000 | 0 |
| 072 | F000000 | 1117 |
| 072 | G000000 | 45 |

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| | |
|-------------|--------|
| 072 H000000 | 0 |
| 072 I000000 | 16 |
| 072 J000000 | 21 |
| 072 K000000 | 0 |
| 072 L000000 | 62 |
| 072 M000000 | 271 |
| 072 N000000 | 0 |
| 072 O000000 | 0 |
| 072 P000000 | 0 |
| 072 Q000000 | 0 |
| 072 R000000 | 51 |
| 072 S000000 | 170 |
| 072 T000000 | 0 |
| 072 U000000 | 0 |
| 072 V000000 | 0 |
| 072 W000000 | 138 |
| 072 X000000 | 1891 |
| 072 Y000000 | 0 |
| 072 Z000000 | 5222 |
| 072AA000000 | 0 |
| 072BB000000 | 7246 |
| 072CC010000 | 0 |
| 072CC020000 | 6194 |
| 072DD010000 | 0 |
| 072DD020000 | 0 |
| 072EE000000 | 0 |
| 073 A010000 | 0.0000 |
| 073 A020000 | 0.0000 |
| 073 B000000 | 0.0000 |
| 073 C000000 | 0.0000 |
| 074 A000000 | 4795 |
| 074 B000000 | 0 |
| 074 C000000 | 0 |
| 074 D000000 | 0 |
| 074 E000000 | 3086 |
| 074 F000000 | 309807 |
| 074 G000000 | 0 |
| 074 H000000 | 0 |
| 074 I000000 | 6299 |
| 074 J000000 | 0 |
| 074 K000000 | 0 |
| 074 L000000 | 2451 |
| 074 M000000 | 10784 |
| 074 N000000 | 337222 |
| 074 O000000 | 0 |
| 074 P000000 | 187 |
| 074 Q000000 | 0 |
| 074 R010000 | 0 |
| 074 R020000 | 0 |
| 074 R030000 | 0 |
| 074 R040000 | 246 |
| 074 S000000 | 0 |
| 074 T000000 | 336789 |
| 074 U010000 | 28082 |
| 074 U020000 | 0 |
| 074 V010000 | 11.99 |
| 074 V020000 | 0.00 |
| 074 W000000 | 0.0000 |
| 074 X000000 | 452 |
| 074 Y000000 | 0 |
| 075 A000000 | 0 |
| 075 B000000 | 330939 |

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| | | |
|-----------|-------------|-------------------------------|
| 076 | 000000 | 10.35 |
| 077 | A000000 | Y |
| 077 | B000000 | N |
| 077 | C000000 | Y |
| 077 | D000000 | N |
| 077 | E000000 | N |
| 077 | F000000 | N |
| 077 | G000000 | N |
| 077 | H000000 | N |
| 077 | I000000 | N |
| 077 | J000000 | N |
| 077 | K000000 | N |
| 077 | L000000 | N |
| 077 | M000000 | N |
| 077 | N000000 | N |
| 077 | O000000 | N |
| 077 | P000000 | N |
| 077 | Q010000 | N |
| 077 | Q020000 | N |
| 077 | Q030000 | N |
| 078 | 000000 | N |
| 080 | C000000 | |
| 086 | A010000 | 345 |
| 086 | A020000 | 3312 |
| 086 | B010000 | 242 |
| 086 | B020000 | 2436 |
| 086 | C010000 | 0 |
| 086 | C020000 | 0 |
| 086 | D010000 | 0 |
| 086 | D020000 | 0 |
| 086 | E010000 | 0 |
| 086 | E020000 | 0 |
| 086 | F010000 | 0 |
| 086 | F020000 | 0 |
| 087 | A010000 | THE SWISS HELVETIA FUND, INC. |
| 087 | A020000 | 870875101 |
| 087 | A030000 | SWZ |
| 088 | A000000 | N |
| 088 | B000000 | N |
| 088 | C000000 | N |
| 088 | D000000 | N |
| SIGNATURE | ALAN MANDEL | |
| TITLE | TREASURER | |