Dakos Andrew Form 4 June 08, 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

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

2. Issuer Name and Ticker or Trading

SWISS HELVETIA FUND, INC.

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1(b).

1. Name and Address of Reporting Person \* **Dakos Andrew** 

(Zip)

(Last) (First) (Middle)

250 PEHLE AVENUE, SUITE 708

(State)

(Street)

(City)

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

Symbol

[SWZ]

06/06/2018

4. If Amendment, Date Original Filed(Month/Day/Year)

**OMB** 

Number:

Expires:

response...

**OMB APPROVAL** 

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_X\_\_ Director 10% Owner Other (specify Officer (give title below)

6. Individual or Joint/Group Filing(Check

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

SADDLE BROOK, NJ 07663

(City)	(State)	Zip) Table	e I - Non-D	erivative S	ecuriti	es Acq	uired, Disposed	of, or Beneficial	lly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any	3. 4. Securities Acqui Transaction(A) or Disposed of Code (D)			•	5. Amount of Securities Beneficially	6. Ownership Form: Direct (D) or	7. Nature of Indirect Beneficial
		(Month/Day/Year)	(Instr. 8)  Code V	(Instr. 3, 4	(A) or (D)	) Price	Owned Following Reported Transaction(s) (Instr. 3 and 4)	Indirect (I) (Instr. 4)	Ownership (Instr. 4)
Common Stock	06/06/2018		J <u>(1)</u>	54,549	D	\$ 0	1,288,630	I	By Clients (2)
Common Stock							792	D	

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.

#### Edgar Filing: Dakos Andrew - Form 4

#### 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	cisable and	7. Titl	e and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionNumber		Expiration D	piration Date		nt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8) Derivativ		2		Securi	ities	(Instr. 5)	Bene
	Derivative				Securities		(Instr.	str. 3 and 4)		Own	
	Security				Acquired						Follo
	•				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									A		
									Amount		
						Exercisable Date	Expiration Date	of			
				C 1 W	(A) (D)						
				Code V	(A) (D)				Shares		

# **Reporting Owners**

Relationships Reporting Owner Name / Address

> Director 10% Owner Officer Other

Dakos Andrew 250 PEHLE AVENUE, SUITE 708 X SADDLE BROOK, NJ 07663

## **Signatures**

/s/ Reid B. Adams, 06/08/2018 Attorney-in-Fact

\*\*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).
- These shares of SWZ are held in the account of a private investment fund client of Bulldog Investors, LLC. Bulldog Investors no longer is (1) deemed to have a pecuniary interest in this account as of June 1, 2018, and, as a result, such shares no longer will be reported on Mr.
- Certain private investment fund clients of Bulldog Investors are the beneficial owners of these shares of SWZ deemed to be beneficially owned by Mr. Dakos as a result of his pecuniary interest therein. Mr. Dakos is a controlling member of Bulldog Investors, a principal of the general partner of certain of these private investment fund clients, and a limited partner in certain of these private fund clients. Mr. Dakos disclaims beneficial interest in such shares except to the extent of any pecuniary interest therein.

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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