SWISS HELVETIA FUND, INC.

Form 4 March 23, 2017

# 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 1(b).

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

(Print or Type Responses)

(Last)

(City)

1. Name and Address of Reporting Person \* Ingber Abby L.

(First) (Middle)

C/O SCHRODERS, 875 THIRD **AVENUE, 22ND FLOOR** 

(Street)

(State)

NEW YORK, NY 10022

2. Issuer Name and Ticker or Trading

Symbol

SWISS HELVETIA FUND, INC. [SWZ]

3. Date of Earliest Transaction

(Month/Day/Year) 03/22/2017

4. If Amendment, Date Original

Filed(Month/Day/Year)

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

Issuer

below)

Director

X\_ Officer (give title

1. Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3)

(Month/Day/Year)

(Zip)

3. 4. Securities TransactionAcquired (A) or Code Disposed of (D) (Instr. 8)

(Instr. 3, 4 and 5)

(A) Transaction(s)

or (Instr. 3 and 4) Code V Amount (D) Price

5. Amount of Securities Beneficially Owned

Following Reported

Applicable Line)

(I) (Instr. 4)

6. Ownership

Form: Direct

Indirect (D) or Indirect Beneficial Ownership (Instr. 4)

7. Nature of

10% Owner

Other (specify

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

5. Relationship of Reporting Person(s) to

(Check all applicable)

Chf. Legal Officer & Secretary

6. Individual or Joint/Group Filing(Check

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

below)

Estimated average

burden hours per

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)	Under	rlying	Security	Secui
(Instr. 3)	Price of	(Month/Day/Year)	(Instr. 8	Derivative Securities Acquired (A) or Disposed			Securities (Instr. 3 and 4)		(Instr. 5)	Bene
	Derivative	· · · · · ·								Owne
	Security									Follo
	-									Repo
										Trans
				of (D)	of (D) (Instr. 3, 4, and 5)					(Instr
				(Instr. 3						
				4, and 3						
			Code V	/ (A) (I	D) Date	Expiration	Title	Amount		
					Exercisable	*		or		
							Number			
								of		
								Shares		

#### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Ingber Abby L. C/O SCHRODERS 875 THIRD AVENUE, 22ND FLOOR NEW YORK, NY 10022

Chf. Legal Officer & Secretary

### **Signatures**

Reporting Person

/s/ Abby L.
Ingber

\*\*Signature of 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:**

Ms. Ingber resigned as the Chief Legal Officer and Secretary of The Swiss Helvetia Fund, Inc. effective March 22, 2017.

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.

Reporting Owners 2