

Edgar Filing: SWISS HELVETIA FUND, INC. - Form SC 13D/A

SWISS HELVETIA FUND, INC.

Form SC 13D/A

May 21, 2014

SCHEDULE 13D/A

DATE OF EVENT WHICH REQUIRES FILING OF THIS STATEMENT

5/20/14

1. NAME OF REPORTING PERSON

Bulldog Investors, LLC

2. CHECK THE BOX IF MEMBER OF A GROUP

a[ ]

b[ ]

3. SEC USE ONLY

4. SOURCE OF FUNDS

WC

5. CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED  
PURSUANT TO ITEMS 2(d) AND 2(e)

[ ]

6. CITIZENSHIP OR PLACE OF ORGANIZATION

DE

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7. SOLE VOTING POWER

908,438

8. SHARED VOTING POWER

836,772

9. SOLE DISPOSITIVE POWER

908,438

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10. SHARED DISPOSITIVE POWER

836,772

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON

1,745,210 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

[ ]

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13. PERCENT OF CLASS REPRESENTED BY ROW 11

6.57%

14. TYPE OF REPORTING PERSON

IA

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1. NAME OF REPORTING PERSON

Phillip Goldstein

2. CHECK THE BOX IF MEMBER OF A GROUP a[x]

b[]

3. SEC USE ONLY

4. SOURCE OF FUNDS

WC

5. CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED  
PURSUANT TO ITEMS 2(d) AND 2(e) []

6. CITIZENSHIP OR PLACE OF ORGANIZATION

USA

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908,438

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13. PERCENT OF CLASS REPRESENTED BY ROW 11

6.57%

14. TYPE OF REPORTING PERSON

IN

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1. NAME OF REPORTING PERSON

Andrew Dakos

2. CHECK THE BOX IF MEMBER OF A GROUP a[ ]

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b[ ]

3. SEC USE ONLY

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USA

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1,745,210 (Footnote 1)

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6.57%

14. TYPE OF REPORTING PERSON

IN

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1. NAME OF REPORTING PERSON  
Steven Samuels

2. CHECK THE BOX IF MEMBER OF A GROUP

b[ ]

3. SEC USE ONLY

4. SOURCE OF FUNDS  
WC

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6. CITIZENSHIP OR PLACE OF ORGANIZATION  
USA

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1,745,210 (Footnote 1)

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13. PERCENT OF CLASS REPRESENTED BY ROW 11

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14. TYPE OF REPORTING PERSON

IN

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Item 1. SECURITY AND ISSUER

This statement constitutes Amendment #1 to the schedule 13d filed August 8, 2013. Except as specifically set forth herein, the Schedule 13d remains unmodified.

ITEM 5. INTEREST IN SECURITIES OF THE ISSUER

(a) As per the DEF 14A filed on May 1, 2014, there were 26,557,389 shares of common stock outstanding as of April 30, 2014. The percentages set forth herein were derived using such number. Phillip Goldstein, Andrew Dakos and Steven Samuels own Bulldog Investors, LLC, a registered investment advisor. As of May 20, 2014, Bulldog Investors, LLC is deemed to be the beneficial owner of 1,745,210 shares of SWZ (representing 6.57% of SWZ's outstanding shares) solely by virtue of Bulldog Investors LLC's power to direct the vote of, and dispose of, these shares. These 1,745,210 shares of SWZ include 908,438 shares (representing 3.42% of SWZ's outstanding shares) that are beneficially owned by: (a) Mr. Goldstein and (2) the following entities over which Messrs. Goldstein, Dakos and Mr. Samuels exercise control: Opportunity Partners LP,

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Calapasas West Partners, LP, Full Value Special Situations Fund, LP, Full Value Offshore Fund, Ltd., Full Value Partners, LP, Opportunity Income Plus, LP, and MCM Opportunity Partners, LP (collectively, "Bulldog Investors Group of Funds"). Bulldog Investors Group of Funds and Mr. Goldstein may be deemed to constitute a group. All other shares included in the aforementioned 1,745,210 shares of SWZ beneficially owned by Bulldog Investors, LLC (solely by virtue of its power to sell or direct the vote of these shares) are also beneficially owned by clients of Bulldog Investors, LLC who are not members of any group. The total number of these "non-group" shares is 836,772 shares (representing 3.15% of SWZ's outstanding shares).

(b) Bulldog Investors, LLC has sole power to dispose of and vote 908,438 shares. Bulldog Investors, LLC has shared power to dispose of and vote 836,772 shares. Certain of Bulldog Investors, LLC's clients (none of whom beneficially own more than 5% of SWZ's shares) share this power with Bulldog Investors, LLC. Messrs. Goldstein, Dakos and Samuels are control persons of Bulldog Investors, LLC.

c) During the last 60 days the following shares of SWZ were bought:

03/28/14	21,500	14.2073
03/31/14	21,100	14.3833
04/01/14	5,100	14.4198
04/02/14	8,200	14.3751
04/04/14	15,000	14.2475
04/10/14	19,500	14.2033
04/21/14	11,516	14.1340
04/22/14	21,307	14.2331
04/23/14	5,000	14.2771
04/24/14	1,156	14.2200
04/24/14	7,731	14.2533
04/25/14	7,002	14.2774
04/30/14	18,737	14.4009
05/02/14	11,382	14.4363
05/07/14	700	14.4500
05/08/14	8,894	14.4527
05/12/14	2,053	14.4096
05/13/14	49,100	14.3450
05/14/14	5,596	14.4088
05/16/14	1,138	14.3663
05/20/14	20,000	14.2883

d) Clients of Bulldog Investors, LLC are entitled to receive any dividends or sales proceeds.

e) NA

ITEM 6. CONTRACTS, ARRANGEMENTS, UNDERSTANDINGS OR RELATIONSHIPS WITH RESPECT TO SECURITIES OF THE ISSUER.  
N/A

ITEM 7. MATERIAL TO BE FILED AS EXHIBITS  
None

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After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Dated: 5/21/2014

By: /S/ Phillip Goldstein  
Name: Phillip Goldstein

By: /S/ Andrew Dakos  
Name: Andrew Dakos

By: /S/ Steven Samuels  
Name: Steven Samuels

Bulldog Investors, LLC  
By: /s/ Andrew Dakos  
Andrew Dakos, Member

Footnote 1: The reporting persons disclaim beneficial ownership except to the extent of any pecuniary interest therein.