

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

SWISS HELVETIA FUND, INC.

Form NSAR-B

February 29, 2016

000 B000000 12/31/2015  
000 C000000 0000813623  
000 D000000 N  
000 E000000 NF  
000 F000000 Y  
000 G000000 N  
000 H000000 N  
000 I000000 6.1  
000 J000000 B  
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 0  
020 A000001 UBS Group AG

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020 B000001 13-2932996  
020 C000001 36  
020 A000002 Investment Technology Group  
020 B000002 13-3757717  
020 C000002 21  
020 A000003 Credit Suisse First Boston Corp.  
020 B000003 13-5699485  
020 C000003 21  
020 A000004 Citigroup Global Markets  
020 B000004 13-2771536  
020 C000004 11  
020 A000005 JP Morgan Securities  
020 B000005 04-1867445  
020 C000005 8  
020 A000006 Merrill Lynch  
020 B000006 13-3180818  
020 C000006 8  
020 A000007 Morgan Stanley  
020 B000007 97-1671384  
020 C000007 6  
020 A000008 Barclays Capital Inc.  
020 B000008 13-3551367  
020 C000008 5  
020 A000009 Exane, Inc.  
020 B000009 13-3901039  
020 C000009 3  
020 A000010 Liquidnet, Inc.  
020 B000010 13-4095933  
020 C000010 2  
021 000000 133  
022 A000001 UBS Group AG  
022 B000001 13-2932996  
022 C000001 2606  
022 D000001 0  
022 A000002 Aargauische Kantonalbank  
022 B000002 00-0000000  
022 C000002 1796  
022 D000002 0  
022 A000003 JP MORGAN SECURITIES  
022 B000003 04-1867445  
022 C000003 320  
022 D000003 159  
022 A000004 INSTINET CORP.  
022 B000004 12-0596491  
022 C000004 18  
022 D000004 0  
023 C000000 9315  
023 D000000 4881  
024 000000 Y  
025 A000001 Credit Suisse First Boston Corp.  
025 B000001 13-5699485  
025 C000001 E  
025 D000001 10951  
025 A000002 UBS Group AG  
025 B000002 13-2932996  
025 C000002 E  
025 D000002 15113  
026 A000000 N  
026 B000000 Y  
026 C000000 N  
026 D000000 Y  
026 E000000 N

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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  
 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

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|     |         |     |
|-----|---------|-----|
| 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 |
| 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 | 000000  | N   |
| 068 | A000000 | N   |
| 068 | B000000 | Y   |
| 069 | 000000  | 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   |

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|     |          |    |        |
|-----|----------|----|--------|
| 070 | R020000  | N  |        |
| 071 | A000000  |    | 84714  |
| 071 | B000000  |    | 80065  |
| 071 | C000000  |    | 351988 |
| 071 | D000000  |    | 23     |
| 072 | A000000  | 12 |        |
| 072 | B000000  |    | 0      |
| 072 | C000000  |    | 7227   |
| 072 | D000000  |    | 0      |
| 072 | E000000  |    | 0      |
| 072 | F000000  |    | 2436   |
| 072 | G000000  |    | 218    |
| 072 | H000000  |    | 0      |
| 072 | I000000  |    | 35     |
| 072 | J000000  |    | 71     |
| 072 | K000000  |    | 0      |
| 072 | L000000  |    | 110    |
| 072 | M000000  |    | 554    |
| 072 | N000000  |    | 0      |
| 072 | O000000  |    | 0      |
| 072 | P000000  |    | 0      |
| 072 | Q000000  |    | 106    |
| 072 | R000000  |    | 107    |
| 072 | S000000  |    | 302    |
| 072 | T000000  |    | 0      |
| 072 | U000000  |    | 0      |
| 072 | V000000  |    | 0      |
| 072 | W000000  |    | 306    |
| 072 | X000000  |    | 4245   |
| 072 | Y000000  |    | 0      |
| 072 | Z000000  |    | 2982   |
| 072 | AA000000 |    | 15645  |
| 072 | BB000000 |    | 0      |
| 072 | CC010000 |    | 0      |
| 072 | CC020000 |    | 10446  |
| 072 | DD010000 |    | 951    |
| 072 | DD020000 |    | 0      |
| 072 | EE000000 |    | 18877  |
| 073 | A010000  |    | 0.0340 |
| 073 | A020000  |    | 0.0000 |
| 073 | B000000  |    | 0.6760 |
| 073 | C000000  |    | 0.0000 |
| 074 | A000000  |    | 12542  |
| 074 | B000000  |    | 0      |
| 074 | C000000  |    | 0      |
| 074 | D000000  |    | 0      |
| 074 | E000000  |    | 3362   |
| 074 | F000000  |    | 332076 |
| 074 | G000000  |    | 0      |
| 074 | H000000  |    | 0      |
| 074 | I000000  |    | 6803   |
| 074 | J000000  |    | 0      |
| 074 | K000000  |    | 0      |
| 074 | L000000  |    | 1271   |
| 074 | M000000  |    | 900    |
| 074 | N000000  |    | 356954 |
| 074 | O000000  |    | 73     |
| 074 | P000000  |    | 199    |
| 074 | Q000000  |    | 0      |
| 074 | R010000  |    | 0      |
| 074 | R020000  |    | 0      |
| 074 | R030000  |    | 0      |

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|     |         |                               |
|-----|---------|-------------------------------|
| 074 | R040000 | 12550                         |
| 074 | S000000 | 0                             |
| 074 | T000000 | 344132                        |
| 074 | U010000 | 27979                         |
| 074 | U020000 | 0                             |
| 074 | V010000 | 12.30                         |
| 074 | V020000 | 0.00                          |
| 074 | W000000 | 0.0000                        |
| 074 | X000000 | 456                           |
| 074 | Y000000 | 0                             |
| 075 | A000000 | 0                             |
| 075 | B000000 | 366220                        |
| 076 | 000000  | 10.56                         |
| 077 | A000000 | Y                             |
| 077 | B000000 | Y                             |
| 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 | A000000 | Federal Insurance Company     |
| 080 | C000000 | 0                             |
| 081 | A000000 | N                             |
| 082 | A000000 | N                             |
| 082 | B000000 | 0                             |
| 083 | A000000 | N                             |
| 083 | B000000 | 0                             |
| 084 | A000000 | N                             |
| 084 | B000000 | 0                             |
| 085 | A000000 | Y                             |
| 085 | B000000 | N                             |
| 086 | A010000 | 1371                          |
| 086 | A020000 | 15771                         |
| 086 | B010000 | 40                            |
| 086 | B020000 | 449                           |
| 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                             |

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088 D000000 N  
SIGNATURE ALAN MANDEL  
TITLE TREASURER