SWISS HELVETIA FUND, INC.

Form 4 March 23, 2017

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

3235-0287

0.5

January 31, Expires: 2005

OMB APPROVAL

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if no longer subject to Section 16. Form 4 or Form 5

obligations

may continue.

See Instruction

Check this box

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * Mandel Alan M.

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to Issuer

Symbol

SWISS HELVETIA FUND, INC.

(Check all applicable)

[SWZ]

(Last)

Security

(Instr. 3)

(Middle)

(Month/Day/Year) Execution Date, if

3. Date of Earliest Transaction

Director 10% Owner Other (specify X_ Officer (give title

(Month/Day/Year)

Filed(Month/Day/Year)

03/22/2017

below) Treas. & Princ. Fin. Officer

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

(First)

(Street)

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

below)

NEW YORK, NY 10022

(State) (Zip) (City) 1. Title of 2. Transaction Date 2A. Deemed

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 3. 4. Securities

5. Amount of Securities

6. Ownership 7. Nature of Form: Direct Indirect

(Month/Day/Year)

TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

Beneficially (D) or Indirect Beneficial Ownership Owned (I) (Instr. 4) Following (Instr. 4)

Reported (A) Transaction(s)

or (Instr. 3 and 4)

Code V Amount (D) Price

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 5. 6. Date Exercisable and 7. Title and 8. Price of 9. Nu (Month/Day/Year) Execution Date, if TransactionNumber **Expiration Date** Amount of Derivative Deriv Derivative Conversion

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Security	or Exercise	any	Code	of		(Month/Day	/Year)	Unde	rlying	Security	Secui
(Instr. 3)	Price of	(Month/Day/Year)	(Instr. 8) Der	Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3,			Securities		(Instr. 5)	Bene
	Derivative			Seci				(Instr. 3 and 4)	. 3 and 4)		Owne
	Security			Acq							Follo
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				4, aı	nd 5)						
			Codo	17 (A)	(D)	Data	Evaluation	Title	Amount		
			Code	v (A)	(D)	Date Exercisable	Expiration Date	-			
									or		
									Number		
									of		
									Shares		

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Mandel Alan M. C/O SCHRODERS 875 THIRD AVENUE, 22ND FLOOR NEW YORK, NY 10022

Treas. & Princ. Fin. Officer

Signatures

/s/ Carin F. Muhlbaum, Attorney-in-fact

03/22/2017

Date

**Signature of Reporting Person

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:

Mr. Mandel resigned as the Treasurer and Principal Financial Officer of The Swiss Helvetia Fund, Inc. effective March 22, 20

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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