

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

SWISS HELVETIA FUND, INC.

Form NSAR-B

February 28, 2014

PAGE 1  
000 B000000 12/31/2013  
000 C000000 0000813623  
000 D000000 N  
000 E000000 NF  
000 F000000 Y  
000 G000000 N  
000 H000000 N  
000 I000000 6.1  
000 J000000 A  
001 A000000 The Swiss Helvetia Fund, Inc.  
001 B000000 811-05128  
001 C000000 8887947700  
002 A000000 1270 AVENUE OF THE AMERICAS SUITE 400  
002 B000000 NEW YORK  
002 C000000 NY  
002 D010000 10020  
003 000000 N  
004 000000 N  
005 000000 N  
006 000000 N  
007 A000000 N  
007 B000000 0  
008 A000001 HOTTINGER CAPITAL CORP.  
008 B000001 A  
008 C000001 801-30025  
008 D010001 NEW YORK  
008 D020001 NY  
008 D030001 10020  
010 A000001 CITI FUND SERVICES OHIO, INC.  
010 B000001 085-11408  
010 C010001 COLUMBUS  
010 C020001 OH  
010 C030001 43219  
012 A000001 AMERICAN STOCK TRANSFER & TRUST COMPANY  
012 B000001 84-00416  
012 C010001 NEW YORK  
012 C020001 NY  
012 C030001 10038  
013 A000001 DELOITTE & TOUCHE LLP  
013 B010001 PHILADELPHIA  
013 B020001 PA  
013 B030001 19103  
014 A000001 GROUPE BANQUE HOTTINGER & CIE SA  
014 B000001 8-062959  
015 A000001 CITIBANK, N.A.  
015 B000001 S  
015 C010001 NEW YORK  
015 C020001 NY  
015 C030001 10043  
015 E040001 X  
018 000000 Y  
PAGE 2  
019 A000000 N  
019 B000000 0  
020 A000001 Bryan garnier Securities LLC  
020 B000001 90-0519662  
020 C000001 94  
020 A000002 Sanford Bernstein & Co

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020 B000002 13-3625874  
 020 C000002 92  
 020 A000003 Vontobel  
 020 B000003 13-4350122  
 020 C000003 85  
 020 A000004 Mainfirst Bank  
 020 B000004 42-1768153  
 020 C000004 83  
 020 A000005 Merrill Lynch  
 020 B000005 13-3180818  
 020 C000005 79  
 020 A000006 Bank am Bellevue  
 020 B000006 0  
 020 C000006 70  
 020 A000007 Jefferies & Co  
 020 B000007 95-2622900  
 020 C000007 56  
 020 A000008 JP Morgan Securities  
 020 B000008 04-1867445  
 020 C000008 52  
 020 A000009 Ca Cheuvreux  
 020 B000009 0  
 020 C000009 45  
 020 A000010 Morgan Stanley  
 020 B000010 97-1671384  
 020 C000010 42  
 021 000000 825  
 022 A000001 Zurmont Madison Private Equity LP  
 022 B000001 0  
 022 C000001 876  
 022 D000001 0  
 022 A000002 Aravis Biotech II  
 022 C000002 369  
 022 D000002 38  
 022 A000003 SelFrag AG  
 022 C000003 259  
 022 D000003 0  
 022 A000004 Merrill lynch  
 022 B000004 13-3180818  
 022 C000004 0  
 022 D000004 6  
 023 C000000 2555  
 023 D000000 44  
 024 000000 N  
 026 A000000 N  
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 026 B000000 Y  
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 026 D000000 Y  
 026 E000000 N  
 026 F000000 N  
 026 G010000 N  
 026 G020000 N  
 026 H000000 N  
 027 000000 N  
 045 000000 Y  
 046 000000 N  
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 048 000000 0.000  
 048 A010000 60000  
 048 A020000 1.000  
 048 B010000 40000

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048 B020000 0.900  
 048 C010000 100000  
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 048 I010000 0  
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 048 J010000 0  
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 048 K010000 800000  
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 051 000000 N  
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 053 A000000 N  
 054 A000000 Y  
 054 B000000 N  
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 054 E000000 N  
 054 F000000 N  
 054 G000000 N  
 054 H000000 Y  
 054 I000000 N  
 054 J000000 Y  
 054 K000000 N  
 PAGE 4  
 054 L000000 N  
 054 M000000 Y  
 054 N000000 N  
 054 O000000 N  
 055 A000000 N  
 055 B000000 N  
 056 000000 N  
 057 000000 N  
 058 A000000 N  
 059 000000 Y  
 060 A000000 N  
 060 B000000 N  
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 062 C000000 0.0  
 062 D000000 0.0  
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 062 F000000 0.0  
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 062 H000000 0.0  
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 062 J000000 0.0  
 062 K000000 0.0  
 062 L000000 0.0  
 062 M000000 0.0

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|     |         |        |
|-----|---------|--------|
| 062 | N000000 | 0.0    |
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| 062 | P000000 | 0.0    |
| 062 | Q000000 | 0.0    |
| 062 | R000000 | 0.0    |
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| 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      |
|     | PAGE    | 5      |
| 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      |
| 070 | R020000 | N      |
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| 071 | C000000 | 445447 |
| 071 | D000000 | 45     |
| 072 | A000000 | 12     |
| 072 | B000000 | 0      |
| 072 | C000000 | 8529   |
| 072 | D000000 | 0      |
| 072 | E000000 | 0      |

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|             |      |
|-------------|------|
| 072 F000000 | 3461 |
| 072 G000000 | 313  |
| 072 H000000 | 0    |
| 072 I000000 | 25   |
| 072 J000000 | 81   |
| 072 K000000 | 0    |
| 072 L000000 | 129  |
| 072 M000000 | 779  |
| 072 N000000 | 0    |
| 072 O000000 | 0    |
| 072 P000000 | 0    |
| 072 Q000000 | 113  |
| 072 R000000 | 126  |
| 072 S000000 | 420  |
| 072 T000000 | 0    |

PAGE 6

|             |        |
|-------------|--------|
| 072 U000000 | 0      |
| 072 V000000 | 0      |
| 072 W000000 | 493    |
| 072 X000000 | 5940   |
| 072 Y000000 | 0      |
| 072 Z000000 | 2589   |
| 072AA000000 | 34272  |
| 072BB000000 | 0      |
| 072CC010000 | 71571  |
| 072CC020000 | 0      |
| 072DD010000 | 2112   |
| 072DD020000 | 0      |
| 072EE000000 | 31146  |
| 073 A010000 | 0.0690 |
| 073 A020000 | 0.0000 |
| 073 B000000 | 1.0200 |
| 073 C000000 | 0.0000 |
| 074 A000000 | 411    |
| 074 B000000 | 0      |
| 074 C000000 | 0      |
| 074 D000000 | 0      |
| 074 E000000 | 6050   |
| 074 F000000 | 451886 |
| 074 G000000 | 0      |
| 074 H000000 | 0      |
| 074 I000000 | 18152  |
| 074 J000000 | 0      |
| 074 K000000 | 0      |
| 074 L000000 | 113    |
| 074 M000000 | 27159  |
| 074 N000000 | 503771 |
| 074 O000000 | 31018  |
| 074 P000000 | 457    |
| 074 Q000000 | 0      |
| 074 R010000 | 0      |
| 074 R020000 | 0      |
| 074 R030000 | 0      |
| 074 R040000 | 408    |
| 074 S000000 | 0      |
| 074 T000000 | 471888 |
| 074 U010000 | 30530  |
| 074 U020000 | 0      |
| 074 V010000 | 15.46  |
| 074 V020000 | 0.00   |
| 074 W000000 | 0.0000 |
| 074 X000000 | 507    |

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|           |                 |                               |
|-----------|-----------------|-------------------------------|
| 074       | Y000000         | 0                             |
| 075       | A000000         | 0                             |
| 075       | B000000         | 454382                        |
| 076       | 000000          | 13.95                         |
| 077       | A000000         | Y                             |
|           | PAGE            | 7                             |
| 077       | B000000         | Y                             |
| 077       | C000000         | N                             |
| 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         | ICI Mutual Insurance Company  |
| 080       | C000000         | 750                           |
| 081       | A000000         | N                             |
| 081       | B000000         | 0                             |
| 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         | 439                           |
| 086       | A020000         | 5566                          |
| 086       | B010000         | 0                             |
| 086       | B020000         | 0                             |
| 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                             |
| 088       | D000000         | N                             |
| SIGNATURE | SCOTT H. RHODES |                               |
| TITLE     | TREASURER       |                               |