

HENNESSY ADVISORS INC

Form 8-K

February 15, 2019

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UNITED STATES

SECURITIES AND EXCHANGE COMMISSION

Washington, DC 20549

FORM 8-K

CURRENT REPORT

Pursuant to Section 13 or 15(d) of the Securities Exchange Act of 1934

Date of Report (Date of earliest event reported): February 12, 2019

HENNESSY ADVISORS, INC.

(Exact name of registrant as specified in its charter)

California                      001-36423    68-0176227

(State or other jurisdiction (Commission (IRS Employer  
of incorporation)                      File Number) Identification No.)

Blvd., Suite 200                      7250 Redwood                      94945  
Novato, California  
(Address of                      (Zip Code)  
principal executive offices)

Registrant's telephone number including area code: (415) 899-1555

Not Applicable

(Former name or former address, if changed since last report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

£ Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)

£ Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)

£ Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))

£ Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (17 CFR §230.405) or Rule 12b-2 of the Securities Exchange Act of 1934 (17 CFR §240.12b-2).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

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Item 5.07 Submission of Matters to a Vote of Security Holders

The Annual Meeting of Hennessy Advisors, Inc. was held on February 12, 2019. At the Annual Meeting, the following directors were elected for terms expiring at the annual meeting of shareholders to be held in 2020 by the votes indicated:

	For	Withheld	Broker Nonvotes
Neil J. Hennessy	4,258,710	126,338	2,545,095
Teresa M. Nilsen	4,306,286	78,762	2,545,095
Daniel B. Steadman	4,300,440	84,608	2,545,095
Henry Hansel	4,304,183	80,865	2,545,095
Brian A. Hennessy	4,244,496	140,552	2,545,095
Daniel G. Libarle	4,086,325	298,723	2,545,095
Rodger Offenbach	4,084,925	300,123	2,545,095
Susan W. Pomilia	4,134,845	250,203	2,545,095
Thomas L. Seavey	4,083,492	301,556	2,545,095

The following reflects the voting results for matters other than the election of directors brought for vote at the Annual Meeting:

	For	Against	Abstained	Broker Nonvotes
Ratification of the selection of Marcum LLP as the independent registered public accounting firm for Hennessy Advisors, Inc. for fiscal year 2019	6,673,342	39,023	217,778	0

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SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

HENNESSY ADVISORS, INC.

February 15, 2019  
Teresa M. Nilsen  
President

By: /s/ Teresa M. Nilsen