

HENNESSY ADVISORS INC
Form 8-K
January 30, 2018
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): January 25, 2018

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.)

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

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 January 25, 2018. At the Annual Meeting, the following directors were elected for terms expiring at the annual meeting of shareholders to be held in 2019 by the votes indicated:

| | For | Withheld | Broker Nonvotes |
|--------------------|-----------|----------|-----------------|
| Neil J. Hennessy | 4,958,553 | 81,731 | 2,074,500 |
| Teresa M. Nilsen | 4,959,131 | 81,153 | 2,074,500 |
| Daniel B. Steadman | 4,949,869 | 90,415 | 2,074,500 |
| Henry Hansel | 4,959,913 | 80,371 | 2,074,500 |
| Brian A. Hennessy | 4,954,007 | 86,277 | 2,074,500 |
| Daniel G. Libarle | 4,731,279 | 309,005 | 2,074,500 |
| Rodger Offenbach | 4,731,279 | 309,005 | 2,074,500 |
| Susan W. Pomilia | 4,725,807 | 314,477 | 2,074,500 |
| Thomas L. Seavey | 4,722,130 | 318,154 | 2,074,500 |

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 2018 | 6,974,363 | 3,113 | 137,308 | 0 |

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.

By: /s/ Neil J. Hennessy

January 30, 2018 Neil J. Hennessy
Chief Executive Officer