

HENNESSY ADVISORS INC  
Form 8-K  
February 06, 2014

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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) January 30, 2014

HENNESSY ADVISORS, INC.

(Exact name of registrant as specified in its charter)

California  
(State or other jurisdiction  
of incorporation)

000-49872  
(Commission  
File Number)

68-0176227  
(IRS Employer  
Identification No.)

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

94945  
(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))

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Item 5.07 Submission of Matters to a Vote of Security Holders

The Annual Meeting was held January 30, 2014. At the Annual Meeting, the following directors were elected for terms expiring at the annual meeting of shareholders to be held in 2015 by the votes indicated:

|                    | For       | Withheld | Broker<br>Nonvotes |
|--------------------|-----------|----------|--------------------|
| Neil J. Hennessy   | 3,466,651 | 5,750    | 1,834,495          |
| Teresa M. Nilsen   | 3,399,903 | 72,498   | 1,834,495          |
| Daniel B. Steadman | 3,399,903 | 72,498   | 1,834,495          |
| Henry Hansel       | 3,466,651 | 5,750    | 1,834,495          |
| Brian A. Hennessy  | 3,399,903 | 72,498   | 1,834,495          |
| Daniel G. Libarle  | 3,466,651 | 5,750    | 1,834,495          |
| Rodger Offenbach   | 3,472,401 | 0        | 1,834,495          |
| Thomas L. Seavey   | 3,466,651 | 5,750    | 1,834,495          |

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<br>Nonvotes |
|---|-----------|---------|-----------|--------------------|
| Approval of the non-binding advisory vote on executive compensation | 3,392,674 | 70,535  | 9,192     | 1,834,495          |

|   | 1 Year  | 2 Years | Three<br>Years | Abstained | Broker<br>Nonvotes |
|---|---------|---------|----------------|-----------|--------------------|
| Recommended frequency for the advisory vote on executive compensation | 389,412 | 22,400  | 3,048,472      | 12,117    | 1,834,495          |

|  | For       | Against | Abstained | Broker<br>Nonvotes |
|--|-----------|---------|-----------|--------------------|
| Ratification of Marcum LLP as Hennessy Advisors' independent registered public accounting firm | 5,303,478 | 0       | 3,418     | 0                  |

SIGNATURES

Pursuant to the requirements of the Securities and 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 6, 2014  
Neil J. Hennessy  
President and CEO

By: /s/ Neil J. Hennessy