

SEAVEY THOMAS L  
Form 4/A  
March 28, 2013

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES**

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
SEAVEY THOMAS L

2. Issuer Name and Ticker or Trading Symbol  
HENNESSY ADVISORS INC  
[HNNA]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
7250 REDWOOD BLVD., SUITE 200  
  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
03/20/2013

Director  10% Owner  
 Officer (give title below)  Other (specify below)

NOVATO, CA 94945

4. If Amendment, Date Original Filed(Month/Day/Year)  
03/22/2013

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
				(A) or (D)	Price		
Common Stock	03/19/2013	03/20/2013	M <sup>(1)</sup>	400	\$ 3.55	D	
Common Stock	03/19/2013	03/20/2013	S	400	\$ 7.5	D	
Common Stock	03/22/2013		M <sup>(2)</sup>	768	\$ 3.55	D	
Common Stock	03/22/2013		S	768	\$ 7.0547	D	



## Edgar Filing: SEAVEY THOMAS L - Form 4/A

- (1) The Form 4 filed on March 22, 2013 reported that the entire stock option was exercised. On March 19, 2013, the reporting person actually exercised 400 shares.
- (2) The Form 4 filed on March 22, 2013 reported that the entire stock option was exercised. On March 22, 2013, the reporting person actually exercised 768 shares.
- (3) The Form 4 filed on March 22, 2013 reported that 500 shares were sold in this transaction. The reporting person actually sold 768 shares in this transaction.

The Form 4 filed on March 22, 2013 reported the sale price of \$7.00 per share in this transaction. The sale price was actually \$7.0547 per share in this transaction. This price is a weighted average price. The prices actually received ranged from \$7.00 to \$7.25. The reporting

- (4) person has provided to the issuer, and will provide to any security holder of the issuer, or the SEC staff, upon request, information regarding the number of shares sold at each price within the range for all transactions reported in this Form 4 utilizing an average weighted price.

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.