

RAND CAPITAL CORP
Form 8-K
April 21, 2016

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): April 21, 2016

RAND CAPITAL
CORPORATION
(Exact name of
registrant as
specified in its
charter)

New York 814-00235 16-0961359
(State or Other Jurisdiction of Incorporation) (Commission File Number) (IRS Employer Identification No.)

2200 Rand
Building,
Buffalo, NY
14203
(Address of
principal
executive
offices)

Edgar Filing: RAND CAPITAL CORP - Form 8-K

(716)
853-0802
(Registrant's
telephone
number,
including
area code)

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))

Item 2.02 Results of Operations and Financial Condition.

The 2016 Annual Meeting of Shareholders of Rand Capital Corporation (the “Company”) will be held at 10:30 a.m. ET on April 21, 2016. A copy of the presentation slides to be used in connection with the Annual Meeting is included as Exhibit 99.1 to this Current Report on Form 8-K.

Item 7.01 Regulation FD Disclosure.

The information set forth under Item 2.02 of this report is incorporated into this Item by reference.

Item 9.01 Financial Statements and Exhibits.

(d) Exhibits.

EXHIBIT NUMBER	DESCRIPTION
99.1	Presentation slides to be used by Registrant in connection with its 2016 Annual Meeting of Shareholders.

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.

RAND CAPITAL CORPORATION

Date: April 21, 2016 By: /s/ Daniel P. Penberthy
Daniel P. Penberthy
Executive Vice President / Chief Financial Officer