

HENNESSY ADVISORS INC  
Form 8-K  
January 30, 2017

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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 26, 2017

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))

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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 January 26, 2017. At the Annual Meeting, the following directors were elected for terms expiring at the annual meeting of shareholders to be held in 2018 by the votes indicated:

|                    | <u>For</u> | <u>Withheld</u> | <u>Broker Nonvotes</u> |
|--------------------|------------|-----------------|------------------------|
| Neil J. Hennessy   | 3,344,689  | 67,464          | 1,317,088              |
| Teresa M. Nilsen   | 3,314,764  | 97,389          | 1,317,088              |
| Daniel B. Steadman | 3,325,871  | 86,282          | 1,317,088              |
| Henry Hansel       | 3,348,548  | 63,605          | 1,317,088              |
| Brian A. Hennessy  | 3,320,102  | 92,051          | 1,317,088              |
| Daniel G. Libarle  | 3,348,548  | 63,605          | 1,317,088              |
| Rodger Offenbach   | 3,348,548  | 63,605          | 1,317,088              |
| Susan W. Pomilia   | 3,343,675  | 68,478          | 1,317,088              |
| Thomas L. Seavey   | 3,348,548  | 63,605          | 1,317,088              |

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

|   | <u>For</u> | <u>Against</u> | <u>Abstained</u> | <u>Broker Nonvotes</u> |
|---|------------|----------------|------------------|------------------------|
| Approval, by a non-binding advisory vote, of executive compensation | 3,233,257  | 160,017        | 18,879           | 1,317,088              |

|   | <u>For</u> | <u>Against</u> | <u>Abstained</u> | <u>Broker Nonvotes</u> |
|---|------------|----------------|------------------|------------------------|
| Ratification of the selection of Marcum LLP as the independent registered public accounting firm for Hennessy Advisors, Inc. for fiscal year 2017 | 4,619,631  | 12,187         | 97,423           | 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, 2017 Neil J. Hennessy  
President and CEO