

Edgar Filing: HENNESSY ADVISORS INC - Form 8-K

HENNESSY ADVISORS INC
Form 8-K
September 09, 2005

SECURITIES AND EXCHANGE COMMISSION

UNITED STATES

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) September 9, 2005

HENNESSY ADVISORS, INC.

(Exact name of registrant as specified in its charter)

California	000-49872	68-0176227
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(State or other jurisdiction of incorporation)	Commission File Number)	(IRS Employer Identification No.)

750 Grant Avenue, Suite 100	94945
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Novato, California	(Zip Code)
(Address of principal executive offices)	

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))

Item 7.01 Regulation FD Disclosure

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Hennessy Advisors, Inc. announced that on September 9, 2005 the shareholders of each of the mutual funds it advises approved new investment advisory agreements for Hennessy to continue managing the funds following completion of Hennessy's pending public offering. Fund shareholders were required to approve the new agreements because completion of the offering will be deemed to result in a change in control of Hennessy. If the pending public offering is not completed, the current investment advisory agreements will remain in effect. The new agreements are identical to the current agreements, except for the dates of execution and termination, and thus are not being filed as exhibits to this Form 8-K.

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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.
(registrant)

September 9, 2005

By: /s/ Daniel B. Steadman

Daniel B. Steadman
Executive Vice President

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