

Edgar Filing: Horizon Technology Finance Corp - Form 8-K

Check the appropriate box below if the Form 8-K 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))

Section 5 Corporate Governance and Management

Item 5.02 Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers

(c) Appointment of Certain Officers

Effective January 17, 2017, the Company has appointed Daniel R. Trolio, 43, as Senior Vice President and Chief Financial Officer. In September 2016, the Company had previously appointed Mr. Trolio as Vice President of Finance and Interim Chief Financial Officer. Mr. Trolio will serve in such positions until his successor is duly chosen and qualified or until his earlier resignation or removal. Set forth below is a description of the prior business experience of Mr. Trolio:

Prior to being appointed Vice President of Finance and Interim Chief Financial Officer, Mr. Trolio had served as the Company's Vice President and Corporate Controller since 2010. Mr. Trolio has also held the same positions with Horizon Technology Finance Management LLC, the Company's advisor, since 2006. Since 2010 Mr. Trolio has been responsible for supervision of all the Company's accounting functions as well as tax and financial reporting. Mr. Trolio previously served as Senior Manager at a regional public accounting firm and held positions with KPMG LLP and Arthur Andersen LLP. Mr. Trolio earned a Bachelor of Science degree in accountancy, with honors, from Bentley University and a Master of Science degree in taxation from the University of Hartford. He is a Certified Public Accountant, chartered in the State of Connecticut.

Section 9

Item 9.01 Financial Statements and Exhibits

On January 18, 2017 the Company issued a press release announcing Mr. Trolio's appointment. The text of this press release is included as an exhibit to this Form 8-K.

(d) Exhibits

99.1 Press Release of the Company dated January 18, 2017.

SIGNATURE

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.

Date: January 18, 2017
HORIZON
TECHNOLOGY
FINANCE
CORPORATION

By: /s/ Robert
D.
Pomeroy,
Jr.
Robert D.
Pomeroy,
Jr.
Chief
Executive
Officer