

HENNESSY ADVISORS INC
Form 8-K
September 27, 2017

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): September 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, California 94945
(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))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (17 CFR §230.405) or Rule 12b-2 of the Securities Exchange Act of 1934 (17 CFR §240.12b-2).

Emerging growth company

Edgar Filing: HENNESSY ADVISORS INC - Form 8-K

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

Item 8.01.

Other Events

On September 26, 2017, Hennessy Advisors, Inc. ("Hennessy Advisors") issued a press release revising the timeline for completing its transaction with Rainier Investment Management, LLC ("Rainier") and Rainier's majority owner, Manning & Napier Group, LLC, to purchase the assets related to the management of the Rainier Large Cap Equity Fund, the Rainier Mid Cap Equity Fund and the Rainier Small/Mid Cap Equity Fund (the "Rainier U.S. Funds"). The transaction is now expected to be completed in the fourth quarter of calendar year 2017.

A copy of the press release is being furnished as Exhibit 99.1 to this Current Report on Form 8 K and is incorporated into this Form 8 K by reference.

2

Item 9.01. Financial Statements and Exhibits

The exhibit listed in the exhibit index below is furnished under Item 8.01 of this Current Report on Form 8-K.

EXHIBIT INDEX

Exhibit Description

99.1 Press release.

3

Edgar Filing: HENNESSY ADVISORS INC - Form 8-K

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.

By: /s/ Daniel Steadman
September 27, 2017 Daniel Steadman
Executive Vice President