

Fahy Kathryn  
 Form 3  
 February 01, 2018

**FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION**  
**Washington, D.C. 20549**

OMB APPROVAL

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**INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,  
 Section 17(a) of the Public Utility Holding Company Act of 1935 or Section  
 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

|   |         |                                      |  |  |
|---|---------|--------------------------------------|--|--|
| 1. Name and Address of Reporting Person * |         | 2. Date of Event Requiring Statement | 3. Issuer Name <b>and</b> Ticker or Trading Symbol         |  |
| Â Fahy Kathryn                            |         | (Month/Day/Year)                     | HENNESSY ADVISORS INC [HNNA]                               |  |
| (Last)                                    | (First) | (Middle)                             | 4. Relationship of Reporting Person(s) to Issuer           | 5. If Amendment, Date Original Filed(Month/Day/Year) |
|   |         |                                      |  |  |
| 7250 REDWOOD BLVD.,                       |         |                                      | (Check all applicable)                                     |  |
| SUITE 200                                 |         |                                      | _____ Director _____ 10% Owner                             |  |
| (Street)                                  |         |                                      | _X_ Officer _____ Other                                    |  |
|   |         |                                      | (give title below) (specify below)                         |  |
|   |         |                                      | SVP and CFO  |  |
| NAVATO,Â CAÂ 94945                        |         |                                      | 6. Individual or Joint/Group Filing(Check Applicable Line) |  |
| (City)                                    | (State) | (Zip)                                | _X_ Form filed by One Reporting Person                     |  |
|   |         |                                      | ___ Form filed by More than One Reporting Person           |  |

**Table I - Non-Derivative Securities Beneficially Owned**

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---------------------------------|---|--|---|
| Common Stock                    | 19,530 <sup>(1)</sup>                                 | D  | Â   |
| Common Stock                    | 12,588.4313 <sup>(2)</sup>                            | I  | By Spouse   |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. SEC 1473 (7-02)

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

**Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of | 5. Ownership Form of Derivative | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--|--|---|------------------------------------|---------------------------------|---|
|--|--|---|------------------------------------|---------------------------------|---|

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| Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Derivative Security | Security: Direct (D) or Indirect (I) (Instr. 5) |
|------------------|-----------------|-------|----------------------------|---------------------|---|
|------------------|-----------------|-------|----------------------------|---------------------|---|

**Reporting Owners**

| Reporting Owner Name / Address                                    | Relationships |           |               |       |
|---|---------------|-----------|---------------|-------|
|   | Director      | 10% Owner | Officer       | Other |
| Fahy Kathryn<br>7250 REDWOOD BLVD., SUITE 200<br>NAVATO, CA 94945 | ^             | ^         | ^ SVP and CFO | ^     |

**Signatures**

/s/ Peter D. Fetzer, Attorney-in-Fact for Kathryn Fahy 02/01/2018

\_\_\_\_Signature of Reporting Person Date

**Explanation of Responses:**

- \* If the form is filed by more than one reporting person, *see* Instruction 5(b)(v).
  - \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
  - (1) Includes 11,475 shares underlying restricted stock units that vest 25% per year beginning on the first anniversary of the dates of grants.
  - (2) Includes 5,987.5 shares underlying restricted stock units that vest 25% per year beginning on the first anniversary of the dates of grants.
- Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.