

HENNESSY ADVISORS INC

Form 8-K

May 08, 2013

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) May 8, 2013

HENNESSY ADVISORS, INC.

(Exact name of registrant as specified in its charter)

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

7250 Redwood Blvd., Suite 200

94945

Novato, 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))

Item 2.02 Results of Operations and Financial Condition

On May 8, 2013, Hennessy Advisors, Inc. (“Hennessy Advisors”) issued a press release announcing, among other things, the quarterly financial results for the reporting period ended March 31, 2013. 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.

Item 7.01 Regulation FD Disclosure

On May 8, 2013, Hennessy Advisors issued a press release announcing, among other things, that it had declared a cash dividend of \$0.03125 per share on its common stock, payable June 17, 2013 to shareholders of record at the close of business on May 24, 2013. 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.

Item 9.01 Financial Statements and Exhibits

Exhibit 99.1 Press release issued May 8, 2013 by Hennessy Advisors, Inc. announcing quarterly financial results for the reporting period ended March 31, 2013 and declaration of cash dividend.

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.

May 8, 2013 By: /s/ Neil J. Hennessy  
Neil J. Hennessy  
President

EXHIBIT INDEX

Exhibit 99.1 Press release issued May 8, 2013 by Hennessy Advisors, Inc. announcing quarterly financial results for the reporting period ended March 31, 2013 and declaration of cash dividend.

Exhibit 99.1 Press Release of May 8, 2013