

Edgar Filing: Firsthand Technology Value Fund, Inc. - Form SC 13D/A

Firsthand Technology Value Fund, Inc.

Form SC 13D/A

October 16, 2015

SCHEDULE 13D/A

DATE OF EVENT WHICH REQUIRES FILING OF THIS STATEMENT  
10/15/15

1. NAME OF REPORTING PERSON

Bulldog Investors, LLC

2. CHECK THE BOX IF MEMBER OF A GROUP

a[ ]

b[ ]

3. SEC USE ONLY

4. SOURCE OF FUNDS

WC

5. CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED  
PURSUANT TO ITEMS 2(d) AND 2(e) [ ]

6. CITIZENSHIP OR PLACE OF ORGANIZATION

DE

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7. SOLE VOTING POWER

504,320

8. SHARED VOTING POWER

153,458

9. SOLE DISPOSITIVE POWER

504,320

---

10. SHARED DISPOSITIVE POWER

153,458

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON

657,778 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

[ ]

---

13. PERCENT OF CLASS REPRESENTED BY ROW 11

8.54%

14. TYPE OF REPORTING PERSON

IA

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1. NAME OF REPORTING PERSON  
Bulldog Investors Group of Funds

2. CHECK THE BOX IF MEMBER OF A GROUP a[X]  
b[]

3. SEC USE ONLY

4. SOURCE OF FUNDS  
WC

5. CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED  
PURSUANT TO ITEMS 2(d) AND 2(e) [ ]

6. CITIZENSHIP OR PLACE OF ORGANIZATION  
DE

---

7. SOLE VOTING POWER  
504,320

8. SHARED VOTING POWER  
0

9. SOLE DISPOSITIVE POWER  
504,320

---

10. SHARED DISPOSITIVE POWER  
0

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON  
504,320

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES  
[]

---

13. PERCENT OF CLASS REPRESENTED BY ROW 11  
6.55%

14. TYPE OF REPORTING PERSON  
IC

1. NAME OF REPORTING PERSON  
Bulldog Investors General Partnership

2. CHECK THE BOX IF MEMBER OF A GROUP a[X]  
b[]

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3. SEC USE ONLY

4. SOURCE OF FUNDS

WC

5. CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED  
PURSUANT TO ITEMS 2(d) AND 2(e) [ ]

6. CITIZENSHIP OR PLACE OF ORGANIZATION

DE

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7. SOLE VOTING POWER

494,601

8. SHARED VOTING POWER

0

9. SOLE DISPOSITIVE POWER

494,601

---

10. SHARED DISPOSITIVE POWER

0

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON

494,601

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

[ ]

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13. PERCENT OF CLASS REPRESENTED BY ROW 11

6.42%

14. TYPE OF REPORTING PERSON

IC

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1. NAME OF REPORTING PERSON

Phillip Goldstein

2. CHECK THE BOX IF MEMBER OF A GROUP a[x]

b[ ]

3. SEC USE ONLY

4. SOURCE OF FUNDS

WC

5. CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED  
PURSUANT TO ITEMS 2(d) AND 2(e) [ ]

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6. CITIZENSHIP OR PLACE OF ORGANIZATION  
USA

---

7. SOLE VOTING POWER  
504,320

8. SHARED VOTING POWER  
153,458

9. SOLE DISPOSITIVE POWER  
504,320

---

10. SHARED DISPOSITIVE POWER  
153,458

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON  
657,778 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

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13. PERCENT OF CLASS REPRESENTED BY ROW 11  
8.54%

14. TYPE OF REPORTING PERSON  
IN

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1. NAME OF REPORTING PERSON  
Andrew Dakos

2. CHECK THE BOX IF MEMBER OF A GROUP  a  
 b

3. SEC USE ONLY

4. SOURCE OF FUNDS  
WC

5. CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED  
PURSUANT TO ITEMS 2(d) AND 2(e)

6. CITIZENSHIP OR PLACE OF ORGANIZATION  
USA

---

7. SOLE VOTING POWER  
504,320

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8. SHARED VOTING POWER  
153,458

9. SOLE DISPOSITIVE POWER  
504,320

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10. SHARED DISPOSITIVE POWER  
153,458

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON  
657,778 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES  
[ ]

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13. PERCENT OF CLASS REPRESENTED BY ROW 11  
8.54%

14. TYPE OF REPORTING PERSON  
IN

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1. NAME OF REPORTING PERSON  
Steven Samuels

2. CHECK THE BOX IF MEMBER OF A GROUP a[ ]  
b[ ]

3. SEC USE ONLY

4. SOURCE OF FUNDS  
WC

5. CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED  
PURSUANT TO ITEMS 2 (d) AND 2 (e) [ ]

6. CITIZENSHIP OR PLACE OF ORGANIZATION  
USA

---

7. SOLE VOTING POWER  
504,320

8. SHARED VOTING POWER  
153,458

9. SOLE DISPOSITIVE POWER  
504,320

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10. SHARED DISPOSITIVE POWER

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153,458

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON  
657,778 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

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13. PERCENT OF CLASS REPRESENTED BY ROW 11

8.54%

14. TYPE OF REPORTING PERSON

IN

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Item 1. SECURITY AND ISSUER

This statement constitutes Amendment #13 to the schedule 13d filed November 22, 2013. Except as specifically set forth herein, the Schedule 13d remains unmodified.

ITEM 5. INTEREST IN SECURITIES OF THE ISSUER

As per the 10-Q filed on August 10, 2015 there were 7,702,705 shares of common stock outstanding as of 7/31/2015. The percentages set forth herein were derived using such number. Phillip Goldstein, Andrew Dakos and Steven Samuels own Bulldog Investors, LLC, a registered investment advisor. As of October 15, 2015, Bulldog Investors, LLC is deemed to be the beneficial owner of 657,778 shares of SVVC by virtue of Bulldog Investors, LLC's power to direct the vote of, and dispose of, these shares. These 657,778 shares of SVVC include 504,320 shares (representing 6.55% of SVVC's outstanding shares) that are beneficially owned by (1) Mr. Goldstein and (2) the following entities over which Messrs. Goldstein, Dakos and Samuels exercise control: Bulldog Investors General Partnership, Opportunity Partners LP, Calapasas West Partners, LP, Full Value Special Situations Fund, LP, Full Value Offshore Fund, Ltd., Full Value Partners, LP, Opportunity Income Plus, LP, and MCM Opportunity Partners, LP (collectively, Bulldog Investors Group of Funds). Bulldog Investors Group of Funds and Mr. Goldstein may be deemed to constitute a group. Bulldog Investors General Partnership is the beneficial owner of 494,601 shares (representing 6.42% of SVVC's outstanding shares). All other shares included in the aforementioned 657,778 shares of SVVC beneficially owned by Bulldog Investors, LLC (solely by virtue of its power to sell or direct the vote of these shares) are also beneficially owned by clients of Bulldog Investors, LLC who are not members of any group. The total number of these "non-group" shares is 153,458 shares (representing 1.99% of SVVC's outstanding shares).

c) During the last 60 days the following shares of SVVC were sold:

Date:	Shares:	Price:
10/05/15	(3,220)	8.4677
10/06/15	(5,303)	8.4287
10/07/15	(3,878)	8.4887
10/08/15	(17,009)	8.4560

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10/09/15	(16,200)	8.5500
10/12/15	(3,520)	8.5534
10/13/15	(1,000)	8.6500
10/15/15	(17,650)	8.4059

d) Beneficiaries of managed accounts are entitled to receive any dividends or sales proceeds.

e) NA

ITEM 6. CONTRACTS, ARRANGEMENTS, UNDERSTANDINGS OR RELATIONSHIPS WITH RESPECT TO SECURITIES OF THE ISSUER.  
None.

ITEM 7. MATERIAL TO BE FILED AS EXHIBITS  
None

Footnote 1: The reporting persons disclaim beneficial ownership except to the extent of any pecuniary interest therein.

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Dated: 10/16/2015

By: /s/ Phillip Goldstein  
Name: Phillip Goldstein

By: /S/ Andrew Dakos  
Name: Andrew Dakos

By: /S/ Steven Samuels  
Name: Steven Samuels

Bulldog Investors, LLC  
By: /s/ Andrew Dakos  
Andrew Dakos, Member

Bulldog Investors General Partnership  
By: /s/ Phillip Goldstein  
Phillip Goldstein, Manager of  
the Managing General Partner

OPPORTUNITY PARTNERS, LP  
By: /s/ Andrew Dakos  
Andrew Dakos, Manager of the GP

CALAPASAS WEST PARTNERS, LP  
By: /s/ Andrew Dakos  
Andrew Dakos, Manager of the GP

FULL VALUE SPECIAL SITUATIONS FUND, LP  
By: /s/ Andrew Dakos  
Andrew Dakos, Manager of the GP

FULL VALUE OFFSHORE FUND, LTD.

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By: /s/ Andrew Dakos  
Andrew Dakos, Director

FULL VALUE PARTNERS, LP  
By: /s/ Andrew Dakos  
Andrew Dakos, Manager of the GP

OPPORTUNITY INCOME PLUS FUND, LP  
By: /s/ Andrew Dakos  
Andrew Dakos, Manager of the GP

MCM OPPORTUNITY PARTNERS, LP  
By: /s/ Andrew Dakos  
Andrew Dakos, Manager of the GP