

HENNESSY ADVISORS INC  
Form 8-K  
May 05, 2014

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): May 5, 2014

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**  
**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 5, 2014, Hennessy Advisors, Inc. issued a press release announcing its financial results for the second quarter ended March 31, 2014. A copy of the press release is being furnished as Exhibit 99.1 to this Current Report on Form 8-K and is incorporated by reference herein.

**Item 7.01. Regulation FD Disclosure**

On May 5, 2014, Hennessy Advisors, Inc. issued a press release announcing that it had declared a cash dividend of \$0.04 per share on its common stock, payable June 12, 2014 to shareholders of record at the close of business on May 20, 2014. A copy of the press release is being furnished as Exhibit 99.1 to this Current Report on Form 8-K and is incorporated by reference herein.

Item 9.01. Financial Statements and Exhibits

Exhibit Description

99.1 Press release issued May 5, 2014 by Hennessy Advisors, Inc. announcing financial results for the fiscal quarter ended March 31, 2014 and declaration of a 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 5, 2014 By: /s/ Neil J. Hennessy  
Neil J. Hennessy  
President and CEO

**HENNESSY ADVISORS, INC.**

**Exhibit Index to Current Report on Form 8-K dated May 5, 2014**

Exhibit Description

- 99.1 Press release issued May 5, 2014 by Hennessy Advisors, Inc. announcing financial results for the fiscal quarter ended March 31, 2014 and declaration of a cash dividend.