

Edgar Filing: Firsthand Technology Value Fund, Inc. - Form 8-K

Firsthand Technology Value Fund, Inc.
Form 8-K
September 13, 2016

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

FORM 8-K

CURRENT REPORT

Pursuant to Section 13 or 15(d) of the
Securities Exchange Act of 1934

Date of Report: September 13, 2016
(Date of earliest event reported)
Firsthand Technology Value Fund, Inc.
(Exact name of registrant as specified in its charter)

| | | |
|---|---------------------------------------|---|
| Maryland (State or other jurisdiction of incorporation) | 814-00830 (Commission File Number) | 27-3008946 (IRS Employer Identification Number) |
|---|---------------------------------------|---|

| | |
|---|---------------------|
| 150 Almaden Blvd., Suite 1250 San Jose, CA (Address of principal executive offices) | 95113 (Zip Code) |
|---|---------------------|

(800) 976-8776
(Registrant's telephone number, including area code)

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))
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Item 8.01. Other Events

On September 13, 2016, Firsthand Technology Value Fund, Inc. issued a press release announcing its top portfolio holdings at the end of August 2016. The top holdings include IntraOp Medical, Pivotal Systems, QMAT, Wrightspeed and Turn. The press release also announced that, as of August 31, 2016, the Fund's top holdings constituted 55.3% of the Fund's estimated net assets.

Item 9.01. Financial Statements and Exhibits

(a) Financial statements:

None

(b) Pro forma financial information:

None

(c) Shell company transactions:

None

(d) Exhibits

99.1 Press Release dated September 13, 2016.

SIGNATURE

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.

Dated: September 13, 2016

FIRSTHAND
TECHNOLOGY
VALUE FUND,
INC.

By: /s/ Kevin Landis
Kevin Landis
President

Exhibit Index

Exhibit No. Description

99.1 Press release dated September 13, 2016