

Fahy Kathryn
Form 4
September 25, 2018

FORM 4

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

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN 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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Fahy Kathryn

2. Issuer Name **and** Ticker or Trading
Symbol
HENNESSY ADVISORS INC
[HNNA]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
7250 REDWOOD BLVD., SUITE
200

3. Date of Earliest Transaction
(Month/Day/Year)
09/12/2018

____ Director ____ 10% Owner
____X____ Officer (give title ____ Other (specify
below) below)
SVP and CFO

(Street)

4. If Amendment, Date Original
Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check
Applicable Line)
____X____ Form filed by One Reporting Person
____ Form filed by More than One Reporting
Person

NOVATO, CA 94945

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)	
			Code	V	Amount	(A) or (D)	Price	
Common Stock	09/17/2018		F ⁽¹⁾		505	D	\$ 14.61	26,025 D
Common Stock	09/18/2018		F ⁽¹⁾		350	D	\$ 15	25,675 D
Common Stock	09/21/2018		G	V	1,000	D	\$ 0	24,675 D
Common Stock	09/21/2018		F ⁽¹⁾		362	D	\$ 14.4	24,313 D
Common Stock	09/12/2018		A ⁽²⁾		2,350	A	\$ 0	14,938.4313 (2) I By Spouse

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Common Stock	09/17/2018	<u>F</u> (1)	306	D	\$ 14.61	14,632.43	13	I	By Spouse
Common Stock	09/18/2018	<u>F</u> (1)	234.5	D	\$ 15	14,397.93	13	I	By Spouse
Common Stock	09/21/2018	<u>F</u> (1)	209	D	\$ 14.4	14,188.93	13	I	By Spouse

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
Fahy Kathryn 7250 REDWOOD BLVD., SUITE 200 NOVATO, CA 94945	SVP and CFO

Signatures

/s/ Peter D. Fetzner, Attorney-in-Fact for Kathryn Fahy

09/25/2018

 **Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 4(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) Represents shares withheld for payment of taxes incident to the vesting of restricted shares.

(2) Includes 2,350 shares underlying restricted stock units that will vest 25% per year beginning on September 12, 2019.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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