

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

Firsthand Technology Value Fund, Inc.
Form 8-K
September 27, 2017

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 27, 2017
(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 5.07. Submission of Matters to a Vote of Security Holders.

On September 26, 2017, Firsthand Technology Value Fund, Inc., held its Annual Meeting of Shareholders to (1) elect two directors, and (2) ratify the selection of Tait Weller & Baker LLP as the independent registered public accountant. At the close of business on the record date, August 9, 2017, an aggregate of 7,430,697 shares of common stock were issued and outstanding.

Proposal 1. The election of Directors:

Nominee	For	Withheld	Broker Non-Vote
Kevin Landis	5,042,691	1,514,598	0
Kimun Lee	4,278,836	2,278,453	0

Pursuant to the foregoing votes, nominees listed above were elected to serve on the Company's Board of Directors. A broker non-vote occurs when a broker holding shares for a beneficial owner does not vote on a particular proposal because the broker does not have discretionary voting power for that particular item and has not received instructions from the beneficial owner or other persons entitled to vote.

Proposal 2. The ratification of the selection of Tait Weller & Baker as the Company's independent registered accounting firm for the fiscal year ending December 31, 2017:

For	Against	Abstain
5,971,931	378,655	206,698

Proposal 3 in the proxy materials was withdrawn by the submitting shareholder prior to the meeting, and therefore not presented for consideration at the shareholder meeting and not voted upon.

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 27, 2017 FIRSTHAND
TECHNOLOGY
VALUE FUND,
INC.

By: /s/ Kevin Landis
Kevin Landis
President