

Firsthand Technology Value Fund, Inc.
Form 8-K
October 22, 2018

**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: October 19, 2018
(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))

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

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

Item 8.01. Other Events

On October 19, 2018, Firsthand Technology Value Fund, Inc. issued a press release announcing its top portfolio holdings at the end of September 2018. The top holdings include Pivotal Systems, Revasum, IntraOp Medical, Roku and QMAT. The press release also announced that, as of September 30, 2018, the Fund's top holdings constituted 92.4% of the Fund's preliminary net assets and 79.4% of the Fund's preliminary gross 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 October 19, 2018.

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: October 22, 2018

**FIRSTHAND
TECHNOLOGY
VALUE FUND,
INC.**

By: /s/ Kevin Landis
Kevin Landis
President

Exhibit Index

Exhibit No. Description

99.1 Press release dated October 19, 2018