

Edgar Filing: Firsthand Technology Value Fund, Inc. - Form SC 13D/A

Firsthand Technology Value Fund, Inc.  
Form SC 13D/A  
May 03, 2016

SCHEDULE 13D/A

DATE OF EVENT WHICH REQUIRES FILING OF THIS STATEMENT  
4/29/16

1. NAME OF REPORTING PERSON  
Bulldog Investors, LLC

2. CHECK THE BOX IF MEMBER OF A GROUP a[ ]

b[ ]

3. SEC USE ONLY

4. SOURCE OF FUNDS  
WC

5. CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED  
PURSUANT TO ITEMS 2(d) AND 2(e) [ ]

6. CITIZENSHIP OR PLACE OF ORGANIZATION  
DE

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7. SOLE VOTING POWER  
234,557

8. SHARED VOTING POWER  
167,559

9. SOLE DISPOSITIVE POWER  
234,557

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10. SHARED DISPOSITIVE POWER  
167,559

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON  
402,116 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

[ ]

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13. PERCENT OF CLASS REPRESENTED BY ROW 11

5.22%

14. TYPE OF REPORTING PERSON

IA



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b[ ]

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4. SOURCE OF FUNDS  
WC

5. CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED  
PURSUANT TO ITEMS 2(d) AND 2(e)

6. CITIZENSHIP OR PLACE OF ORGANIZATION  
USA

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402,116 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

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13. PERCENT OF CLASS REPRESENTED BY ROW 11  
5.22%

14. TYPE OF REPORTING PERSON  
IN

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1. NAME OF REPORTING PERSON  
Steven Samuels

2. CHECK THE BOX IF MEMBER OF A GROUP

b[ ]

3. SEC USE ONLY

4. SOURCE OF FUNDS  
WC

5. CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED

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PURSUANT TO ITEMS 2(d) AND 2(e)

6. CITIZENSHIP OR PLACE OF ORGANIZATION  
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5.22%

14. TYPE OF REPORTING PERSON  
  
IN

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Item 1. SECURITY AND ISSUER

This statement constitutes Amendment #16 to the schedule 13d filed November 22, 2013. Except as specifically set forth herein, the Schedule 13d remains unmodified.

ITEM 5. INTEREST IN SECURITIES OF THE ISSUER

As per the 10-K filed on March 15, 2016 there were 7,702,705 shares of common stock outstanding as of 3/15/2016. The percentages set forth herein were derived using such number. Phillip Goldstein, Andrew Dakos and Steven Samuels own Bulldog Investors, LLC, a registered investment advisor. As of May 2, 2016, Bulldog Investors, LLC is deemed to be the beneficial owner of 402,116 shares of SVVC by virtue of Bulldog Investors, LLC's power to direct the vote of, and dispose of, these shares. These 402,116 shares of SVVC include 234,557 shares (representing 3.05% of SVVC's outstanding shares) that are beneficially owned by (1) Mr. Goldstein and (2) the following entities over which Messrs. Goldstein, Dakos and Samuels exercise control: Opportunity Partners LP, Calapasas West Partners, LP, Full Value Special Situations Fund, LP, Full Value Offshore Fund, Ltd., Full Value Partners, LP, Opportunity Income Plus, LP, and MCM Opportunity Partners, LP (collectively, Bulldog Investors Group of Funds). Bulldog

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Investors Group of Funds and Mr. Goldstein may be deemed to constitute a group. All other shares included in the aforementioned 402,116 shares of SVVC beneficially owned by Bulldog Investors, LLC (solely by virtue of its power to sell or direct the vote of these shares) are also beneficially owned by clients of Bulldog Investors, LLC who are not members of any group. The total number of these "non-group" shares is 167,559 shares (representing 2.17% of SVVC's outstanding shares).

(b) Bulldog Investors, LLC has sole power to dispose of and vote 234,557 shares. Bulldog Investors, LLC has shared power to dispose of and vote 167,559 shares. Certain of Bulldog Investors, LLC's clients (none of whom beneficially own more than 5% of SVVC's shares) share this power with Bulldog Investors, LLC. Messrs. Goldstein, Dakos and Samuels are control persons of Bulldog Investors, LLC.

c) Since the last filing on 3/28/16 the following shares of SVVC were sold:

Date:	Shares:	Price:
03/28/16	(10,000)	7.4521
03/29/16	(6,610)	7.4619
03/30/16	(260)	7.5000
04/01/16	(2,676)	7.5000
04/04/16	(1,276)	7.5000
04/06/16	(228)	7.5200
04/07/16	(900)	7.5022
04/08/16	(1,900)	7.5000
04/21/16	(5,933)	7.4003
04/25/16	(1,800)	7.5507
04/27/16	(23,822)	7.6065
04/27/16	(210)	7.6000
04/28/16	(13,547)	7.6474
04/29/16	(9,140)	7.6778

d) Beneficiaries of managed accounts are entitled to receive any dividends or sales proceeds.

e) NA

ITEM 6. CONTRACTS, ARRANGEMENTS, UNDERSTANDINGS OR RELATIONSHIPS WITH RESPECT TO SECURITIES OF THE ISSUER.

None.

ITEM 7. MATERIAL TO BE FILED AS EXHIBITS

None

Footnote 1: The reporting persons disclaim beneficial ownership except to the extent of any pecuniary interest therein.

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Dated: 5/3/2016

By: /s/ Phillip Goldstein  
Name: Phillip Goldstein

By: /S/ Andrew Dakos

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Name: Andrew Dakos

By: /s/ Steven Samuels

Name: Steven Samuels

Bulldog Investors, LLC

By: /s/ Andrew Dakos

Andrew Dakos, Member