

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

Firsthand Technology Value Fund, Inc.

Form SC 13D/A

February 14, 2014

SCHEDULE 13D/A

DATE OF EVENT WHICH REQUIRES FILING OF THIS STATEMENT

2/13/14

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

7. SOLE VOTING POWER

977,732

8. SHARED VOTING POWER

300,202

9. SOLE DISPOSITIVE POWER

977,732

10. SHARED DISPOSITIVE POWER

300,202

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON

1,277,934 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

[]

13. PERCENT OF CLASS REPRESENTED BY ROW 11

14.09%

14. TYPE OF REPORTING PERSON

IA

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

1. NAME OF REPORTING PERSON

Bulldog Investors Group of Funds

2. CHECK THE BOX IF MEMBER OF A GROUP

a[X]

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

7. SOLE VOTING POWER

977,732

8. SHARED VOTING POWER

0

9. SOLE DISPOSITIVE POWER

977,732

10. SHARED DISPOSITIVE POWER

0

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON

977,732

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

[]

13. PERCENT OF CLASS REPRESENTED BY ROW 11

10.79%

14. TYPE OF REPORTING PERSON

IC

1. NAME OF REPORTING PERSON

Bulldog Investors General Partnership

2. CHECK THE BOX IF MEMBER OF A GROUP

a[X]

b[]

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

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

7. SOLE VOTING POWER

955,912

8. SHARED VOTING POWER

0

9. SOLE DISPOSITIVE POWER

955,912

10. SHARED DISPOSITIVE POWER

0

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON

955,912

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

[]

13. PERCENT OF CLASS REPRESENTED BY ROW 11

10.53%

14. TYPE OF REPORTING PERSON

IC

1. NAME OF REPORTING PERSON

Phillip Goldstein

2. CHECK THE BOX IF MEMBER OF A GROUP

a[x]

b[]

3. SEC USE ONLY

4. SOURCE OF FUNDS

WC

5. CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED

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

PURSUANT TO ITEMS 2(d) AND 2(e) ☐

6. CITIZENSHIP OR PLACE OF ORGANIZATION
USA

7. SOLE VOTING POWER
977,732

8. SHARED VOTING POWER
300,202

9. SOLE DISPOSITIVE POWER
977,732

10. SHARED DISPOSITIVE POWER
300,202

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON
1,277,934 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES
☐

13. PERCENT OF CLASS REPRESENTED BY ROW 11
14.09%

14. TYPE OF REPORTING PERSON
IN

1. NAME OF REPORTING PERSON
Andrew Dakos

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
PURSUANT TO ITEMS 2(d) AND 2(e) ☐

6. CITIZENSHIP OR PLACE OF ORGANIZATION
USA

7. SOLE VOTING POWER

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

977,732

8. SHARED VOTING POWER

300,202

9. SOLE DISPOSITIVE POWER

977,732

10. SHARED DISPOSITIVE POWER

300,202

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON

1,277,934 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

☐

13. PERCENT OF CLASS REPRESENTED BY ROW 11

14.09%

14. TYPE OF REPORTING PERSON

IN

1. NAME OF REPORTING PERSON

Steven Samuels

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

USA

7. SOLE VOTING POWER

977,732

8. SHARED VOTING POWER

300,202

9. SOLE DISPOSITIVE POWER

977,732

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

10. SHARED DISPOSITIVE POWER

300,202

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON

1,277,934 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

☐

13. PERCENT OF CLASS REPRESENTED BY ROW 11

14.09%

14. TYPE OF REPORTING PERSON

IN

Item 1. SECURITY AND ISSUER

This statement constitutes Amendment #9 to the schedule 13d filed November 22, 2013. Except as specifically set forth herein, the Schedule 13d remains unmodified.

Item 2. IDENTITY AND BACKGROUND

(a) This statement is filed on behalf of Bulldog Investors, LLC, (a Delaware limited liability company); Bulldog Investors Group of Funds (as defined in response to Item 5) (each of which is a Delaware limited partnership, other than Opportunity Partners, LP (an Ohio limited partnership) and Full Value Offshore Fund, Ltd. (a Cayman Islands exempted company)); Bulldog Investors General Partnership (a New York general partnership); Phillip Goldstein; Andrew Dakos; and Steven Samuels.

(b) The business address of the reporting persons is Park 80 West-Plaza Two, 250 Pehle Ave., Suite 708, Saddle Brook, NJ 07663.

(c) Bulldog Investors, LLC is a registered investment adviser. Messrs. Goldstein, Dakos and Samuels are control persons of Bulldog Investors, LLC.

(d) n/a

(e) n/a

(f) Each of Messrs. Goldstein, Dakos and Samuels is a citizen of the United States.

ITEM 5. INTEREST IN SECURITIES OF THE ISSUER

As per the 10-Q filed on November 8, 2013 there were 9,072,032 shares of common stock outstanding as of 10/31/2013. 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 February 13, 2014, Bulldog Investors, LLC is deemed to be the beneficial owner of 1,277,934 shares

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

of SVVC by virtue of Bulldog Investors, LLC's power to direct the vote of, and dispose of, these shares. These 1,277,934 shares of SVVC include 977,732 shares (representing 10.79% 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: Bulldog Investors General Partnership, 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 Investors Group of Funds and Mr. Goldstein may be deemed to constitute a group. Bulldog Investors General Partnership is the beneficial owner of 955,912 shares (representing 10.54% of SVVC's outstanding shares). All other shares included in the aforementioned 1,277,934 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 300,202 shares (representing 3.30% of SVVC's outstanding shares).

c) Since the last filing on 2/03/14 the following shares of SVVC were bought:

Date:	Shares:	Price:
02/03/14	22,623	23.7483
02/04/14	7,006	23.9269
02/05/14	6,137	23.6816
02/06/14	8,419	22.7864
02/07/14	11,807	22.9628
02/10/14	19,900	22.9570
02/11/14	770	22.8500
02/12/14	5,505	22.9427
02/12/14	6,000	23.0750
02/13/14	14,238	23.5281

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: 2/14/2014

By: /s/ Phillip Goldstein
Name: Phillip Goldstein

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

By: /s/ Andrew Dakos
Name: Andrew Dakos

By: /s/ Steven Samuels
Name: Steven Samuels

Bulldog Investors, LLC
By: /s/ Andrew Dakos
Andrew Dakos, Member

Bulldog Investors General Partnership
By: /s/ Phillip Goldstein
Phillip Goldstein, Manager of
the Managing General Partner

OPPORTUNITY PARTNERS, LP
By: /s/ Andrew Dakos
Andrew Dakos, Manager of the GP

CALAPASAS WEST PARTNERS, LP
By: /s/ Andrew Dakos
Andrew Dakos, Manager of the GP

FULL VALUE SPECIAL SITUATIONS FUND, LP
By: /s/ Andrew Dakos
Andrew Dakos, Manager of the GP

FULL VALUE OFFSHORE FUND, LTD.
By: /s/ Andrew Dakos
Andrew Dakos, Director

FULL VALUE PARTNERS, LP
By: /s/ Andrew Dakos
Andrew Dakos, Manager of the GP

OPPORTUNITY INCOME PLUS FUND, LP
By: /s/ Andrew Dakos
Andrew Dakos, Manager of the GP

MCM OPPORTUNITY PARTNERS, LP
By: /s/ Andrew Dakos
Andrew Dakos, Manager of the GP