

Edgar Filing: HENNESSY ADVISORS INC - Form 8-K

HENNESSY ADVISORS INC

Form 8-K

June 10, 2003

SECURITIES AND EXCHANGE COMMISSION

UNITED STATES

Washington, DC 20549

FORM 8-K

CURRENT REPORT

Pursuant to Section 13 or 15(d) of the Securities Exchange Act of 1934

Date of Report (Date of earliest event reported) June 3, 2003

HENNESSY ADVISORS, INC.

(Exact name of registrant as specified in its charter)

California ----- (State or other jurisdiction of incorporation)	000-49872 ----- Commission File Number)	68-0176227 ----- (IRS Employer Identification No.)
--------------------------------------------------------------------------	--------------------------------------------------	-------------------------------------------------------------

750 Grant Avenue, Suite 100 Novato, California (Address of principal executive offices)	94945 ----- (Zip Code)
-----------------------------------------------------------------------------------------------	------------------------------

Registrant's telephone number including area code: (415) 899-1555

Not Applicable

(Former name or former address, if changed since last report)

Item 4. Changes In Registrant's Certifying Accountant

On June 3, 2003, Hennessy Advisors, Inc. ("Hennessy") dismissed its auditors,

Edgar Filing: HENNESSY ADVISORS INC - Form 8-K

KPMG LLP ("KPMG"), and appointed Pimenti & Brinker, LLP ("Pimenti") as its new independent auditors, effective June 4, 2003. This change was approved by the Audit Committee of Hennessy's Board of Directors.

During Hennessy's two most recent fiscal years ended September 30, 2002, and the subsequent interim period through June 3, 2003, there were no disagreements between Hennessy and KPMG on any matter of accounting principles or practices, financial statement disclosure, or auditing scope or procedure, which disagreements, if not resolved to KPMG's satisfaction, would have caused KPMG to make reference to the subject matter of the disagreement in the connection with its reports.

The audit reports of KPMG on the financial statements of Hennessy as of and for the fiscal years ended September 30, 2002 and September 30, 2001 did not contain any adverse opinion or disclaimer of opinion, nor were they qualified or modified as to uncertainty, audit scope or accounting principles. A letter from KPMG is attached hereto as Exhibit 16.

Item 7 Financial Statements and Exhibits

(c) Exhibits

16 Letter of KPMG LLP regarding change in certifying accountant

2

Pursuant to the requirements of the Securities and Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

HENNESSY ADVISORS, INC.
(registrant)

June 10, 2003

By: /s/ Teresa M. Nilsen

Teresa M. Nilsen
Chief Financial Officer and
Executive Vice President

3