

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

Firsthand Technology Value Fund, Inc.

Form SC 13D/A

December 03, 2015

SCHEDULE 13D/A

DATE OF EVENT WHICH REQUIRES FILING OF THIS STATEMENT
12/1/15

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
444,867

8. SHARED VOTING POWER
121,836

9. SOLE DISPOSITIVE POWER
444,867

10. SHARED DISPOSITIVE POWER
121,836

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON
566,703 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES
[]

13. PERCENT OF CLASS REPRESENTED BY ROW 11
7.36%

14. TYPE OF REPORTING PERSON
IA

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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
444,867

8. SHARED VOTING POWER
0

9. SOLE DISPOSITIVE POWER
444,867

10. SHARED DISPOSITIVE POWER
0

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON
444,867

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES
[]

13. PERCENT OF CLASS REPRESENTED BY ROW 11
5.78%

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[]

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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

436,116

8. SHARED VOTING POWER

0

9. SOLE DISPOSITIVE POWER

436,116

10. SHARED DISPOSITIVE POWER

0

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON

436,116

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

[]

13. PERCENT OF CLASS REPRESENTED BY ROW 11

5.66%

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

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6. CITIZENSHIP OR PLACE OF ORGANIZATION
USA

7. SOLE VOTING POWER
444,867

8. SHARED VOTING POWER
121,836

9. SOLE DISPOSITIVE POWER
444,867

10. SHARED DISPOSITIVE POWER

121,836

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON
566,703 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

[]

13. PERCENT OF CLASS REPRESENTED BY ROW 11

7.36%

14. TYPE OF REPORTING PERSON

IN

1. NAME OF REPORTING PERSON
Andrew Dakos

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
444,867

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8. SHARED VOTING POWER

121,836

9. SOLE DISPOSITIVE POWER

444,867

10. SHARED DISPOSITIVE POWER

121,836

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON

566,703 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

13. PERCENT OF CLASS REPRESENTED BY ROW 11

7.36%

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

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444,867

8. SHARED VOTING POWER

121,836

9. SOLE DISPOSITIVE POWER

444,867

10. SHARED DISPOSITIVE POWER

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121,836

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON
566,703 (Footnote 1)

12. CHECK IF THE AGGREGATE AMOUNT EXCLUDES CERTAIN SHARES

13. PERCENT OF CLASS REPRESENTED BY ROW 11

7.36%

14. TYPE OF REPORTING PERSON

IN

Item 1. SECURITY AND ISSUER

This statement constitutes Amendment #14 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-Q filed on November 9, 2015 there were 7,702,705 shares of common stock outstanding as of 10/31/2015. 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 December 2, 2015, Bulldog Investors, LLC is deemed to be the beneficial owner of 566,703 shares of SVVC by virtue of Bulldog Investors, LLC's power to direct the vote of, and dispose of, these shares. These 566,703 shares of SVVC include 444,867 shares (representing 5.78% 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 436,116 shares (representing 5.66% of SVVC's outstanding shares). All other shares included in the aforementioned 566,703 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 121,836 shares (representing 1.58% of SVVC's outstanding shares).

c) Since the last filing on 10/16/15 the following shares of SVVC were sold:

Date:	Shares:	Price:
10/16/15	(6,359)	8.5001
10/19/15	(2,235)	8.4500
10/20/15	(3,825)	8.4504
10/23/15	(4,544)	8.5500

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10/26/15	(800)	8.5200
10/27/15	(100)	8.4500
10/28/15	(3,793)	8.4000
10/30/15	(1,222)	8.4500
11/03/15	(4,880)	8.4528
11/05/15	(5,009)	8.4524
11/09/15	(4,200)	8.4519
11/16/15	(210)	8.0000
11/17/15	(13,250)	8.0088
11/18/15	(1,701)	8.0094
11/30/15	(4,300)	7.7507
12/01/15	(17,400)	7.6525
12/01/15	(8,769)	7.6920

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: 12/3/2015

By: /s/ Phillip Goldstein
Name: Phillip Goldstein

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

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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