

SEAVEY THOMAS L
Form 4/A
March 28, 2013

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
SEAVEY THOMAS L

2. Issuer Name and Ticker or Trading Symbol
HENNESSY ADVISORS INC
[HNNA]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
7250 REDWOOD BLVD., SUITE 200

(Street)

3. Date of Earliest Transaction (Month/Day/Year)
03/20/2013

Director 10% Owner
 Officer (give title below) Other (specify below)

NOVATO, CA 94945

4. If Amendment, Date Original Filed(Month/Day/Year)
03/22/2013

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
				(A) or (D)	Price		
Common Stock	03/19/2013	03/20/2013	M ⁽¹⁾	400	\$ 3.55	D	
Common Stock	03/19/2013	03/20/2013	S	400	\$ 7.5	D	
Common Stock	03/22/2013		M ⁽²⁾	768	\$ 3.55	D	
Common Stock	03/22/2013		S	768	\$ 7.0547	D	

Edgar Filing: SEAVEY THOMAS L - Form 4/A

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

SEC 1474
(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. P	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (right to acquire)	\$ 3.55	03/19/2013	03/20/2013	M ⁽¹⁾	400 ₍₁₎	08/06/2003	08/06/2013	Common Stock	400
Stock Option (right to acquire)	\$ 3.55	03/22/2013		M ⁽²⁾	768 ₍₂₎	08/06/2003	08/06/2013	Common Stock	768

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SEAVEY THOMAS L 7250 REDWOOD BLVD., SUITE 200 NOVATO, CA 94945		X		

Signatures

/s/ Peter D. Fetzer, Attorney-in-Fact for Thomas L. Seavey
03/22/2013

__Signature of Reporting Person Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Edgar Filing: SEAVEY THOMAS L - Form 4/A

- (1) The Form 4 filed on March 22, 2013 reported that the entire stock option was exercised. On March 19, 2013, the reporting person actually exercised 400 shares.
- (2) The Form 4 filed on March 22, 2013 reported that the entire stock option was exercised. On March 22, 2013, the reporting person actually exercised 768 shares.
- (3) The Form 4 filed on March 22, 2013 reported that 500 shares were sold in this transaction. The reporting person actually sold 768 shares in this transaction.

The Form 4 filed on March 22, 2013 reported the sale price of \$7.00 per share in this transaction. The sale price was actually \$7.0547 per share in this transaction. This price is a weighted average price. The prices actually received ranged from \$7.00 to \$7.25. The reporting person has provided to the issuer, and will provide to any security holder of the issuer, or the SEC staff, upon request, information regarding the number of shares sold at each price within the range for all transactions reported in this Form 4 utilizing an average weighted price.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.