

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

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7. SOLE VOTING POWER  
977,732

8. SHARED VOTING POWER  
300,202

9. SOLE DISPOSITIVE POWER  
977,732

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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  
[ ]

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13. PERCENT OF CLASS REPRESENTED BY ROW 11  
14.09%

14. TYPE OF REPORTING PERSON  
IA



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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

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7. SOLE VOTING POWER  
955,912

8. SHARED VOTING POWER  
0

9. SOLE DISPOSITIVE POWER  
955,912

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10. SHARED DISPOSITIVE POWER  
0

11. AGGREGATE AMOUNT OWNED BY EACH REPORTING PERSON  
955,912

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

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13. PERCENT OF CLASS REPRESENTED BY ROW 11  
10.53%

14. TYPE OF REPORTING PERSON  
IC

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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

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

6. CITIZENSHIP OR PLACE OF ORGANIZATION  
USA

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7. SOLE VOTING POWER  
977,732

8. SHARED VOTING POWER  
300,202

9. SOLE DISPOSITIVE POWER  
977,732

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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

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13. PERCENT OF CLASS REPRESENTED BY ROW 11  
14.09%

14. TYPE OF REPORTING PERSON  
IN

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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

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977,732

8. SHARED VOTING POWER

300,202

9. SOLE DISPOSITIVE POWER

977,732

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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

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13. PERCENT OF CLASS REPRESENTED BY ROW 11

14.09%

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

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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7. SOLE VOTING POWER

977,732

8. SHARED VOTING POWER

300,202

9. SOLE DISPOSITIVE POWER

977,732

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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

[ ]

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13. PERCENT OF CLASS REPRESENTED BY ROW 11

14.09%

14. TYPE OF REPORTING PERSON

IN

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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

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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

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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