

Firsthand Technology Value Fund, Inc.  
Form 8-K  
September 29, 2017

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

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FORM 8-K

CURRENT REPORT

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

Date of Report: September 28, 2017  
(Date of earliest event reported)

Firsthand Technology Value Fund, Inc.  
(Exact name of registrant as specified in its charter)

|   |                                       |   |
|---|---------------------------------------|---|
| Maryland<br>(State or other jurisdiction<br>of incorporation) | 814-00830<br>(Commission File Number) | 27-3008946<br>(IRS Employer<br>Identification Number) |
|---|---------------------------------------|---|

|   |                     |
|---|---------------------|
| 150 Almaden Blvd., Suite 1250<br>San Jose, CA<br>(Address of principal executive offices) | 95113<br>(Zip Code) |
|---|---------------------|

(800) 976-8776  
(Registrant's telephone number, including area code)

Not Applicable  
(Former Name or Former Address, if changed since last report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))
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Item 8.01. Other Events

On September 28, 2017, Firsthand Technology Value Fund, Inc. issued a press release announcing today that Roku, a Fund holding since 2015, went public today through an initial public offering (“IPO”). The IPO was priced at \$14.00 per share, resulting in proceeds to Roku of approximately \$126 million. The shares, which now trade on the NASDAQ under the ticker symbol “ROKU”, opened their first day of trading at \$15.78 and closed at \$23.50.

Item 9.01. Financial Statements and Exhibits

(a) Financial statements:

None

(b) Pro forma financial information:

None

(c) Shell company transactions:

None

(d) Exhibits

99.1 Press Release dated September 28, 2017.

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SIGNATURE

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

Dated: September 28, 2017

FIRSTHAND  
TECHNOLOGY  
VALUE FUND,  
INC.

By: /s/ Kevin Landis  
Kevin Landis  
President

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Exhibit Index

Exhibit No. Description

99.1 Press release dated September 28, 2017