

Edgar Filing: HENNESSY ADVISORS INC - Form 8-K

HENNESSY ADVISORS INC
Form 8-K
December 09, 2004

=====

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) November 3, 2004

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 5.05 AMENDMENTS TO THE REGISTRANT'S CODE OF ETHICS, OR
WAIVER OF A PROVISION OF THE CODE OF ETHICS

On November 3, 2004, the Company's Board of Directors adopted an enhanced Code of Ethics. The enhanced Code took effect on November 17, 2004. It differs from the Company's prior Code because: it includes specific "standards

Edgar Filing: HENNESSY ADVISORS INC - Form 8-K

of conduct" that must be adhered to by all Officers, Directors and Employees of the Company; and it requires that all Directors, Officers and Employees of the Company acknowledge their receipt of the Code and report any violations of the Code.

ITEM 9.01 FINANCIAL STATEMENTS AND EXHIBITS

(c) Exhibits

14.1 Code of Ethics

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)

December 9, 2004

By: /s/ Neil J. Hennessy

Neil J. Hennessy
President