

OPPORTUNITY PARTNERS LP
Form 4
December 02, 2014

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
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 *
Bulldog Investors General Partnership

2. Issuer Name and Ticker or Trading Symbol
Firsthand Technology Value Fund, Inc. [SVVC]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
11/24/2014

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

PARK 80 WEST - PLAZA
TWO, 250 PEHLE AVE., SUITE
708

(Street)

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

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

SADDLE BROOK, NJ 07663

(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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount (A) or (D) Price | | |
| Common Stock | 11/24/2014 | | S | | 38 D \$ 22.5976 | 14,509 | D <u>(1)</u> |
| Common Stock | 11/26/2014 | | S | | 210 D \$ 22.5413 | 14,299 | D <u>(1)</u> |
| Common Stock | 12/01/2014 | | S | | 25 D \$ 22.531 | 14,274 | D <u>(1)</u> |
| Common Stock | 11/24/2014 | | S | | 2,381 D \$ 22.5976 | 992,388 | D <u>(2)</u> <u>(3)</u> |
| | 11/26/2014 | | S | | 13,302 D | 979,086 | D <u>(2)</u> <u>(3)</u> |

Edgar Filing: OPPORTUNITY PARTNERS LP - Form 4

| | | | | | | | | | |
|--------------|------------|--|---|-------|---------|-----------|---------|--|-------------------------|
| Common Stock | | | | | \$ | | | | |
| | | | | | 22.5413 | | | | |
| Common Stock | 12/01/2014 | | S | 1,565 | D | \$ 22.531 | 977,521 | | D <u>(2)</u> <u>(3)</u> |

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. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Owned Following Reporting Date (Instr. 6) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Bulldog Investors General Partnership PARK 80 WEST - PLAZA TWO 250 PEHLE AVE., SUITE 708 SADDLE BROOK, NJ 07663 | | X | | |
| Opportunity Income Plus LP PARK 80 WEST - PLAZA TWO 250 PEHLE AVE., SUITE 708 SADDLE BROOK, NJ 07663 | | X | | |
| OPPORTUNITY PARTNERS LP PARK 80 WEST - PLAZA TWO 250 PEHLE AVE., SUITE 708 SADDLE BROOK, NJ 07663 | | X | | |
| Calapasas West Partners LP PARK 80 WEST, 250 PEHLE AVE., STE 708 | | X | | |

250 PEHLE AVE., SUITE 708
SADDLE BROOK, NJ 07663

Full Value Special Situations Fund LP
PARK 80 WEST, 250 PEHLE AVE., STE 708 X
250 PEHLE AVE., SUITE 708
SADDLE BROOK, NJ 07663

Full Value Offshore Fund, Ltd.
PARK 80 WEST X
250 PEHLE AVE., SUITE 708
SADDLE BROOK, NJ 07663

FULL VALUE PARTNERS LP
PARK 80 WEST X
250 PEHLE AVE., SUITE 708
SADDLE BROOK, NJ 07663

MCM Opportunity Partners LP
PARK 80 WEST X
250 PEHLE AVE., SUITE 708
SADDLE BROOK, NJ 07663

STEADY GAIN PARTNERS LP
PARK 80 WEST X
250 PEHLE AVE., SUITE 708
SADDLE BROOK, NJ 07663

MERCURY PARTNERS L P
PARK 80 WEST X
250 PEHLE AVE., SUITE 708
SADDLE BROOK, NJ 07663

Signatures

/s/ Phillip Goldstein - Manager of the Managing General Partner - Bulldog Investors General Partnership 12/02/2014

__Signature of Reporting Person Date

/s/ Phillip Goldstein - Manager of the General Partner - Opportunity Income Plus, LP 12/02/2014

__Signature of Reporting Person Date

/s/ Phillip Goldstein - Manager of the General Partner - Opportunity Partners, LP 12/02/2014

__Signature of Reporting Person Date

/s/ Phillip Goldstein - Manager of the General Partner - Calapasas West Partners, LP 12/02/2014

__Signature of Reporting Person Date

/s/ Phillip Goldstein - Manager of the General Partner - Full Value Special Situations Fund, LP 12/02/2014

__Signature of Reporting Person Date

/s/ Phillip Goldstein - Manager of the General Partner - Full Value Offshore Fund, Ltd. 12/02/2014

__Signature of Reporting Person Date

/s/ Phillip Goldstein - Manager of the General Partner - Full Value Partners, LP 12/02/2014

Edgar Filing: OPPORTUNITY PARTNERS LP - Form 4

| | |
|---|------------|
| <u> </u> Signature of Reporting Person | Date |
| /s/ Phillip Goldstein - Manager of the General Partner - MCM Opportunity Partners, LP | 12/02/2014 |
| <u> </u> Signature of Reporting Person | Date |
| /s/ Barry Swidler Member of the General Partner - Steady Gain Partners, LP | 12/02/2014 |
| <u> </u> Signature of Reporting Person | Date |
| /s/ Glenn Goodstein Member of the General Partner - Mercury Partners, LP | 12/02/2014 |
| <u> </u> 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).
- (1) Shares are held by Opportunity Income Plus, LP.
- (2) Shares are held by Bulldog Investors General Partnership.
Certain of such shares are also held indirectly by Opportunity Partners, LP, Calapasas West Partners, LP, Full Value Special Situations Fund, LP, Full Value Offshore Fund, Ltd., Full Value Partners, LP, MCM Opportunity Partners, LP, Steady Gain Partners, LP, and
- (3) Mercury Partners, LP (the "Funds"). Each Fund disclaims beneficial ownership of such shares, except to the extent of its pecuniary interest.

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.