

Horizon Technology Finance Corp  
Form 8-K  
October 02, 2017

**UNITED STATES**

**SECURITIES AND EXCHANGE COMMISSION**

**Washington, D.C. 20549**

**FORM 8-K**

**CURRENT REPORT**

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

**Date of Report: September 29, 2017**

**(Date of earliest event reported)**

**Horizon Technology Finance Corporation**

**(Exact name of registrant as specified in its charter)**

**Delaware**                      **814-00802**      **27-2114934**  
(State or other jurisdiction) (Commission (IRS Employer  
of incorporation)              File Number) Identification Number)

**312 Farmington Avenue**  
**06032**  
**Farmington, CT**  
(Address of principal executive offices) (Zip Code)

Registrant's telephone number, including area code: **(860) 676-8654**

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))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§ 230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§ 240.12b-2 of this chapter).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.



**Item 8.01. Other Events.**

On September 29, 2017, Horizon Technology Finance Corporation (the “Company”) notified U.S. Bank National Association, the trustee (the “Trustee”) for the Company’s 7.375% Senior Notes due 2019 (the “Notes”), of the Company’s election to redeem the \$33,000,000 aggregate principal amount of the Notes outstanding, and instructed the Trustee to provide notice of such redemption to the holders of the Notes in accordance with the terms of the indenture governing the Notes. The Company expects the redemption to be completed on October 30, 2017. Following the redemption, none of the Notes will remain outstanding, and they will be delisted from the New York Stock Exchange. This Current Report on Form 8-K does not constitute a notice of redemption of the Notes.

On September 29, 2017, the Company issued a press release that announced the redemption of the Notes. A copy of the press release is furnished as Exhibit 99.1 to this report on Form 8-K and is incorporated herein by reference.

**Item 9.01. Financial Statements and Exhibits**

**(d) Exhibits**

99.1 Press Release of Horizon Technology Finance Corporation, dated September 29, 2017

**SIGNATURE**

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

Dated: September 29, 2017 **HORIZON TECHNOLOGY FINANCE CORPORATION**

By: /s/ Daniel R. Trolio  
Daniel R. Trolio  
Senior Vice President, Chief Financial Officer and Treasurer