

# HORIZON TECHNOLOGY FINANCE CORP

## **FORM 8-K** (Current report filing)

Filed 01/18/17 for the Period Ending 01/18/17

Address	312 FARMINGTON AVENUE FARMINGTON, CT 06032
Telephone	860-676-8654
CIK	0001487428
Symbol	HRZN
Industry	Closed End Funds
Sector	Financials
Fiscal Year	12/31

# 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): January 18, 2017

# HORIZON TECHNOLOGY FINANCE CORPORATION

(Exact name of registrant as specified in its charter)

**Delaware**  
(State or other jurisdiction  
of incorporation)

**814-00802**  
(Commission File Number)

**27-2114934**  
(I.R.S. Employer Identification No.)

**312 Farmington Avenue**  
**Farmington, CT 06032**  
(Address of principal executive offices and zip code)

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

Check the appropriate box below if the Form 8-K 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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**Section 5 Corporate Governance and Management**

**Item 5.02 Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers**

**(c) Appointment of Certain Officers**

Effective January 17, 2017, the Company has appointed Daniel R. Trolio, 43, as Senior Vice President and Chief Financial Officer. In September 2016, the Company had previously appointed Mr. Trolio as Vice President of Finance and Interim Chief Financial Officer. Mr. Trolio will serve in such positions until his successor is duly chosen and qualified or until his earlier resignation or removal. Set forth below is a description of the prior business experience of Mr. Trolio:

Prior to being appointed Vice President of Finance and Interim Chief Financial Officer, Mr. Trolio had served as the Company's Vice President and Corporate Controller since 2010. Mr. Trolio has also held the same positions with Horizon Technology Finance Management LLC, the Company's advisor, since 2006. Since 2010 Mr. Trolio has been responsible for supervision of all the Company's accounting functions as well as tax and financial reporting. Mr. Trolio previously served as Senior Manager at a regional public accounting firm and held positions with KPMG LLP and Arthur Andersen LLP. Mr. Trolio earned a Bachelor of Science degree in accountancy, with honors, from Bentley University and a Master of Science degree in taxation from the University of Hartford. He is a Certified Public Accountant, chartered in the State of Connecticut.

**Section 9**

**Item 9.01 Financial Statements and Exhibits**

On January 18, 2017 the Company issued a press release announcing Mr. Trolio's appointment. The text of this press release is included as an exhibit to this Form 8-K.

**(d) Exhibits**

99.1 Press Release of the Company dated January 18, 2017.

**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.

Date: January 18, 2017

HORIZON TECHNOLOGY FINANCE CORPORATION

By: /s/ Robert D. Pomeroy, Jr.  
Robert D. Pomeroy, Jr.  
*Chief Executive Officer*



## **Horizon Technology Finance Names Daniel R. Trolio as Senior Vice President and Chief Financial Officer**

**FARMINGTON, Conn., January 18, 2017** – Horizon Technology Finance Corporation (NASDAQ: HRZN) (“Horizon”) (“Company”), a leading specialty finance company that provides capital in the form of secured loans to venture capital backed companies in the technology, life science, healthcare information and services, and cleantech industries, announced today that Daniel R. Trolio has been appointed Senior Vice President and Chief Financial Officer, effective January 17, 2017. Mr. Trolio has served as Horizon’s Vice President of Finance and Interim Chief Financial Officer since September 2016 as part of his ten-year tenure with the Company and its advisor.

“I am very pleased to have Dan as Horizon’s permanent Chief Financial Officer,” said Robert D. Pomeroy, Jr., Chairman and Chief Executive Officer of Horizon. “Dan has been instrumental to our growth as a public company. Since assuming the interim CFO role, he has become an integral part of our senior management team. Dan’s experience and leadership abilities make him the best person to lead our finance organization. We look forward to his further contributions as we continue to execute on our investment strategy.”

Prior to being appointed the Company’s Vice President of Finance and Interim Chief Financial Officer, Mr. Trolio served as Vice President and Corporate Controller since 2010 and has been responsible for supervision of all Horizon’s accounting functions as well as tax and financial reporting. Mr. Trolio has also held the same positions with Horizon Technology Finance Management LLC, the Company’s advisor, since 2006. Before joining Horizon, Mr. Trolio served as Senior Manager at a regional public accounting firm and has held positions with KPMG LLP and Arthur Andersen LLP. Mr. Trolio earned a Bachelor of Science degree in accountancy, with honors, from Bentley University and a Master of Science degree in taxation from the University of Hartford. He is a Certified Public Accountant, chartered in the State of Connecticut.

“I am excited to permanently take on my role as Horizon’s Chief Financial Officer,” said Daniel R. Trolio, Chief Financial Officer of Horizon. “I will leverage my past 10 years of experience working with the Horizon senior management team to capitalize on the strengths of Horizon’s specialized investment strategy as we seek to create long-term shareholder value.”

### **About Horizon Technology Finance**

Horizon Technology Finance Corporation is a leading specialty finance company that provides capital in the form of secured loans to venture capital backed companies in the technology, life science, healthcare information and services, and cleantech industries. The investment objective of Horizon is to maximize its investment portfolio’s return by generating current income from the debt investments it makes and capital appreciation from the warrants it receives when making such debt investments. Headquartered in Farmington, Connecticut, Horizon has regional offices in Pleasanton, California and Reston, Virginia. Horizon's common stock trades on the NASDAQ Global Select Market under the ticker symbol "HRZN". To learn more, please visit [www.horizontechfinance.com](http://www.horizontechfinance.com).

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**Forward-Looking Statements**

*Statements included herein may constitute "forward-looking statements" within the meaning of the Private Securities Litigation Reform Act of 1995. Statements other than statements of historical facts included in this press release may constitute forward-looking statements and are not guarantees of future performance, condition or results and involve a number of risks and uncertainties. Actual results may differ materially from those in the forward-looking statements as a result of a number of factors, including those described from time to time in our filings with the Securities and Exchange Commission. Horizon undertakes no duty to update any forward-looking statement made herein. All forward-looking statements speak only as of the date of this press release.*

**Contacts:**

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