

AMTECH SYSTEMS INC
Form 3
April 04, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF 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 * | | 2. Date of Event Requiring Statement | 3. Issuer Name and Ticker or Trading Symbol | |
| Â HASS ROBERT T | | (Month/Day/Year) | AMTECH SYSTEMS INC [ASYS] | |
| (Last) | (First) | (Middle) | 04/01/2016 | |
| C/O AMTECH SYSTEMS, INC., Â 131 SOUTH CLARK DRIVE | | | 4. Relationship of Reporting Person(s) to Issuer | 5. If Amendment, Date Original Filed(Month/Day/Year) |
| (Street) | | | (Check all applicable) | |
| TEMPE, Â AZ Â 85281 | | | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner | 6. Individual or Joint/Group Filing(Check Applicable Line) |
| (City) | (State) | (Zip) | <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
| | | | (give title below) (specify below) | <input type="checkbox"/> Form filed by More than One Reporting Person |
| | | | Interim CFO | |

Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security (Instr. 4) | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | 4. Nature of Indirect Beneficial Ownership (Instr. 5) |
|---------------------------------|-------------------------------------------------------|----------------------------------------------------------|-------------------------------------------------------|
| Common Stock | 1,582 | D | Â |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | 4. Conversion or Exercise Price of Derivative | 5. Ownership Form of Derivative Security | 6. Nature of Indirect Beneficial Ownership (Instr. 5) |
|--------------------------------------------|----------------------------------------------------------|-----------------------------------------------------------------------------|-----------------------------------------------|------------------------------------------|-------------------------------------------------------|
|--------------------------------------------|----------------------------------------------------------|-----------------------------------------------------------------------------|-----------------------------------------------|------------------------------------------|-------------------------------------------------------|

Edgar Filing: AMTECH SYSTEMS INC - Form 3

| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Security | Direct (D) or Indirect (I) (Instr. 5) | |
|------------------------------|---------------------|--------------------|---------------------------------------------------|----------------------------------|----------|------------------------------------------------|---|
| Stock Options (right to buy) | Â <u>(1)</u> | 12/09/2018 | Amtech Systems, Inc. \$.01 par value common stock | 3,884 <u>(2)</u> | \$ 3.8 | D | Â |
| Stock Options (right to buy) | Â <u>(3)</u> | 11/20/2019 | Amtech Systems, Inc. \$.01 par value common stock | 2,667 | \$ 6.15 | D | Â |
| Stock Options (right to buy) | Â <u>(4)</u> | 08/06/2020 | Amtech Systems, Inc. \$.01 par value common stock | 1,333 | \$ 10.64 | D | Â |
| Stock Options (right to buy) | Â <u>(5)</u> | 12/15/2021 | Amtech Systems, Inc. \$.01 par value common stock | 5,000 | \$ 7.98 | D | Â |
| Stock Options (right to buy) | Â <u>(6)</u> | 12/11/2022 | Amtech Systems, Inc. \$.01 par value common stock | 9,938 <u>(7)</u> | \$ 2.95 | D | Â |
| Stock Options (right to buy) | Â <u>(8)</u> | 12/12/2023 | Amtech Systems, Inc. \$.01 par value common stock | 5,000 | \$ 7.01 | D | Â |
| Stock Options (right to buy) | Â <u>(9)</u> | 11/19/2024 | Amtech Systems, Inc. \$.01 par value common stock | 2,500 | \$ 9.98 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---------------------------------------------------------------------------------------|---------------|-----------|---------------|-------|
| | Director | 10% Owner | Officer | Other |
| HASS ROBERT T C/O AMTECH SYSTEMS, INC. 131 SOUTH CLARK DRIVE TEMPE, AZ 85281 | Â | Â | Â Interim CFO | Â |

Signatures

/s/ Robert T
Hass 04/04/2016

__Signature of Reporting Person Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 5(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) Stock options vested one-fourth (1/4) annually commencing on the first anniversary of the 12/09/2008 grant date.
- (2) Reporting person has exercised 5,116 of the 9,000 vested options.
- (3) Stock options vested one-fourth (1/4) annually commencing on the first anniversary of the 11/20/2009 grant date.
- (4) Stock options vested one-fourth (1/4) annually commencing on the first anniversary of the 08/06/2010 grant date.
- (5) Stock options vested one-fourth (1/4) annually commencing on the first anniversary of the 12/15/2011 grant date.
- (6) Stock options vest one-fourth (1/4) annually commencing on the first anniversary of the 12/11/2012 grant date.
- (7) Reporting person has exercised 1,000 of the 10,938 vested options.
- (8) Stock options vested one-half (1/2) annually commencing on the first anniversary of the 12/12/2013 grant date.
- (9) Stock options vest one-half (1/2) annually commencing on the first anniversary of the 11/19/2014 grant date.

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.