

AMTECH SYSTEMS INC
Form 4
March 04, 2014

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

OMB APPROVAL

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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 *
WHANG JONG S

2. Issuer Name and Ticker or Trading Symbol
AMTECH SYSTEMS INC [ASYS]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
02/28/2014

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

(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

(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 | (D) | Price |
| Amtech Systems, Inc. \$.01 par value common stock | 02/28/2014 | | M | | 6,300 | A | \$ 2.95 |
| | | | | | 113,579 ⁽¹⁾ | D | |
| Amtech Systems, Inc. \$.01 par value common stock | 02/28/2014 | | S | | 6,300 | D | \$ 11.132 |
| | | | | | 107,279 | D | |

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| | | | | | | | |
|---|------------|---|--------|---|------------|---------|---|
| Amtech Systems, Inc. \$.01 par value common stock | 03/04/2014 | M | 24,950 | A | \$ 2.95 | 132,229 | D |
| Amtech Systems, Inc. \$.01 par value common stock | 03/04/2014 | S | 24,950 | D | \$ 12.6296 | 107,279 | D |

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

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(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) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title Amount or Number of Shares |
| Amtech Systems, Inc. Employee Stock Option | \$ 2.95 | 02/28/2014 | | M | 6,300 | 12/11/2013 12/11/2022 | Amtech Systems, Inc. \$.01 par value common stock 6,300 |
| Amtech Systems, Inc. Employee Stock Option | \$ 2.95 | 03/04/2014 | | M | 24,950 | 12/11/2013 12/11/2022 | Amtech Systems, Inc. \$.01 par value common stock 24,950 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--------------------------------|---------------|-----------|--------------------|-------|
| | Director | 10% Owner | Officer | Other |
| WHANG JONG S | X | | Executive Chairman | |

Signatures

Robert T. Hass on behalf of JS Whang by Power of Attorney

03/04/2014

__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) Exercise of stock option.
- (2) This is the number of derivative securities, with the same terms and conditions, following the reported transaction.
- (3) This is the number of derivative securities, with the same terms and conditions, following the reported transaction. Total of all derivative securities, with different terms and conditions, held following the reported transaction is 165,417.

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