

AMTECH SYSTEMS INC

Form 3

April 04, 2016

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

OMB APPROVAL

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**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 \*

Â HASS ROBERT T

(Last) (First) (Middle)

C/O AMTECH SYSTEMS,  
INC.,Â 131 SOUTH CLARK  
DRIVE

(Street)

TEMPE,Â AZÂ 85281

(City) (State) (Zip)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

04/01/2016

3. Issuer Name **and** Ticker or Trading Symbol  
AMTECH SYSTEMS INC [ASYS]4. Relationship of Reporting  
Person(s) to Issuer5. If Amendment, Date Original  
Filed(Month/Day/Year)

(Check all applicable)

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

Interim CFO

6. Individual or Joint/Group  
Filing(Check Applicable Line)  
☒ Form filed by One Reporting  
Person  
☐ Form filed by More than One  
Reporting Person**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  
Derivative5. Ownership  
Form of  
Derivative  
Security:6. Nature of Indirect  
Beneficial Ownership  
(Instr. 5)

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	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.  
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