

WANSEM PAUL J VAN DER

Form 4

December 15, 2017

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

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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
WANSEM PAUL J VAN DER

(Last) (First) (Middle)

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

(Street)

TEMPE, AZ 85281

(City) (State) (Zip)

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

3. Date of Earliest Transaction
(Month/Day/Year)
12/13/2017

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

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 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 Ownership (Instr. 4) |
|---------------------------------------|---|---|---|---|--|--|---|
| Common Stock | 12/13/2017 | | M | 4,113 A | \$ 7.15 | 276,739 | D |
| Common Stock | 12/13/2017 | | M | 8,227 A | \$ 6.08 | 284,966 | D |
| Common Stock | 12/13/2017 | | M | 6,000 A | \$ 5.75 | 290,966 | D |
| Common Stock | 12/13/2017 | | S | 11,459 D | \$ 9.99 (1) | 279,507 | D |
| Common Stock | 12/14/2017 | | G | 6,583 D | \$ 0 (2) | 272,924 | D |

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| | | | |
|--------------|--------|---|----------------------------|
| Common Stock | 30,277 | I | By Wife <u>(3)</u> |
| Common Stock | 22,706 | I | By Family Trust <u>(4)</u> |

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

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SEC 1474
(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 |
| Stock Options (right to buy) | \$ 7.15 | 12/13/2017 | | M | | 4,113 | | 01/30/2015 | 06/03/2020 | Common Stock | 4,113 |
| Stock Options (right to buy) | \$ 6.08 | 12/13/2017 | | M | | 8,227 | | 01/30/2015 | 11/05/2019 | Common Stock | 8,227 |
| Stock Options (right to buy) | \$ 5.75 | 12/13/2017 | | M | | 6,000 | | 09/18/2017 ⁽⁵⁾ | 03/17/2027 | Common Stock | 6,000 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| WANSEM PAUL J VAN DER C/O AMTECH SYSTEMS, INC., 131 SOUTH CLARK DRIVE | X | | | |

TEMPE, AZ 85281

Signatures

/s/ Robert T. Hass, on behalf of Paul J. van der Wansem by Power of Attorney

12/15/2017

__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) The price reported in Column 4 is an average price. These shares were sold in multiple transactions at prices ranging from \$9.99 to \$10.00, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.
- (2) Bona fide gift to charitable foundation
- (3) Mr. van der Wansem disclaims beneficial ownership in shares held by his wife.
- (4) Mr. van der Wansem disclaims any beneficial ownership in shares held by the 1981 Van der Wansem Family Trust.
- (5) One-third of the stock option granted vest on each of the first three anniversaries of the 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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