

WANSEM PAUL J VAN DER

Form 4

December 15, 2017

# 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 \*  
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)
			Code	V	Amount	(A) or (D)	Price
Common Stock	12/13/2017		M		4,113	A	\$ 7.15
Common Stock	12/13/2017		M		8,227	A	\$ 6.08
Common Stock	12/13/2017		M		6,000	A	\$ 5.75
Common Stock	12/13/2017		S		11,459	D	\$ 9.99 (1)
Common Stock	12/14/2017		G		6,583	D	\$ 0 (2)

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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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(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)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	
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 <sup>(5)</sup> 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).

- 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.
- (1) Bona fide gift to charitable foundation
  - (2) Mr. van der Wansem disclaims beneficial ownership in shares held by his wife.
  - (3) 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. 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.