

Edgar Filing: AMTECH SYSTEMS INC - Form 10-K/A

AMTECH SYSTEMS INC
Form 10-K/A
February 11, 2003

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

FORM 10-K/A
AMENDMENT NO. 1

(Mark One)

ANNUAL REPORT PURSUANT TO SECTION 13 OR 15(D) OF THE SECURITIES
EXCHANGE ACT OF 1934

For the fiscal year ended: September 30, 2002

OR

TRANSITION REPORT PURSUANT TO SECTION 13 OR 15(D) OF THE SECURITIES
EXCHANGE ACT OF 1934

For the transition period from _____ to _____

Commission File Number: 0-11412

AMTECH SYSTEMS, INC.
(Exact name of registrant as specified in its charter)

Arizona
(State or other jurisdiction of
incorporation or organization)

86-0411215
(I.R.S. Employer
Identification No.)

131 South Clark Drive, Tempe, Arizona
(Address of principal executive offices)

85281
(Zip Code)

Registrant's telephone number, including area code: 480-967-5146

The undersigned Registrant hereby amends its Form 10-K for the fiscal year ended
September 30, 2002, as follows:

Part IV, ITEM 13 (EXHIBITS, FINANCIAL STATEMENT SCHEDULES, AND REPORTS ON
FORM 8-K) is hereby amended by filing Exhibit Nos. 99.1 and 99.2, which were
inadvertently omitted from the Registrant's initial filing of its Form 10-K for
the fiscal year ended September 30, 2002.

SIGNATURES

Pursuant to the requirements of Section 13 or 15(d) of the Securities
Exchange Act of 1934, the Registrant has duly caused this report to be signed on
its behalf by the undersigned, thereunto duly authorized.

AMTECH SYSTEMS, INC.

February 11, 2003

By: /s/ Jong S. Whang

Jong S. Whang, President

Pursuant to the requirements of the Securities Exchange Act of 1934, this
Amendment No. 1 to Form 10-K has been signed below by the following persons on
behalf of the registrant and in the capacities and on the dates indicated:

SIGNATURE

TITLE

DATE

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| | | |
|---|---|-------------------|
| ----- | ----- | ---- |
| /s/ Jong S. Whang ----- Jong S. Whang | Chairman of the Board, President (Chief Executive Officer) | February 11, 2003 |
| /s/ Robert T. Hass ----- Robert T. Hass | Vice President-Finance (Chief Financial & Accounting Officer) | February 11, 2003 |
| /s/ * ----- Alvin Katz | Director | February 11, 2003 |
| /s/ * ----- Bruce R. Thaw | Director | February 11, 2003 |
| * By: /s/ Jong S. Whang ----- Jong S. Whang, Attorney-in-Fact | | February 11, 2003 |

EXHIBIT INDEX

| EXHIBIT NO. ----- | DESCRIPTION ----- |
|----------------------|--|
| 3.1 | Articles of Incorporation |
| 3.2 | Articles of Amendment to Articles of Incorporation, dated April 27, 1983 |
| 3.3 | Articles of Amendment to Articles of Incorporation, dated May 19, 1987 |
| 3.4 | Articles of Amendment to Articles of Incorporation, dated May 2, 1988 |
| 3.5 | Articles of Amendment to Articles of Incorporation, dated May 28, 1993 |
| 3.6 | Articles of Amendment to Articles of Incorporation, dated March 14, 1999 |
| 3.7 | Amended and Restated Bylaws |
| 4.1 | Rights Agreement dated May 17, 1999 |
| 10.1 | Amended and Restated 1995 Stock Option Plan |
| 10.2 | Non-Employee Director Stock Option Plan |
| 10.3 | Employment Agreement with Robert T. Hass, dated May 19, 1992 |
| 10.4 | Registration Rights Agreement with J.S. Whang, dated January 24, 1994 |
| 10.5 | Asset Purchase Agreement, dated July 1, 1997, among the Registrant, P.R. Hoffman Machines Corporation and John R. Krieger |
| 10.6 | 1998 Employee Stock Option Plan |
| 10.7 | Sublease Agreement, dated July 1, 1999, between the Registrant and John R. Krieger |
| 10.8 | Warrant to Purchase Common Stock, dated September 8, 2000 |
| 10.9 | Stock and Warrant Purchase Agreement, dated September 8, 2000 |
| 10.10 | Employment Agreement, dated March 15, 2001, between the Registrant and Jong S. Whang |
| 21 | Subsidiaries of the Registrant |
| 23 | Consent of Independent Auditor |
| 24 | Powers of Attorney |
| 99.1 | Certification of Principal Executive Officer pursuant to Section 906 of the Sarbanes-Oxley Act of 2002 |
| 99.2 | Certification of Principal Financial Officer pursuant to Section 906 of the Sarbanes-Oxley Act of 2002 |

* Filed herewith.
** Previously filed.

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- A Incorporated by reference to Amtech's Form S-18 Registration Statement No. 2-83934-LA.
- B Incorporated by reference to Amtech's Annual Report on Form 10-K for the fiscal year ended September 30, 1987.
- C Incorporated by reference to Amtech's Annual Report on Form 10-K for the fiscal year ended September 30, 1988.
- D Incorporated by reference to Amtech's Annual Report on Form 10-K for the fiscal year ended September 30, 1991.
- E Incorporated by reference to Amtech's Annual Report on Form 10-K for the fiscal year ended September 30, 1993.
- F Incorporated by reference to Amtech's Form S-1 Registration Statement No. 33-77368.
- G Incorporated by reference to Amtech's Form S-8 Registration Statement relating to the Amended and Restated 1995 Stock Option Plan and the 1995 Stock Bonus Plan filed with the Securities and Exchange Commission on September 9, 1997.
- H Incorporated by reference to Amtech's Form S-8 Registration Statement relating to the Non-Employee Directors Stock Option Plan filed with the Securities and Exchange Commission on August 8, 1996.
- I Incorporated by reference to Amtech's Current Report on Form 8-K dated July 1, 1997.
- J Incorporated by reference to Amtech's Proxy Statement for shareholders meeting held on March 20, 1998.
- K Incorporated by reference to Amtech's Current Report on Form 8-K, dated May 17, 1999.
- L Incorporated by reference to Amtech's Annual Report on Form 10-K for the fiscal year ended September 30, 1997.
- M Incorporated by reference to Amtech's Proxy Statement for the annual shareholders meeting held on February 26, 1999.
- N Incorporated by reference to Amtech's Current Report on Form 8-K dated September 22, 2000.
- O Incorporated by reference to Amtech's Annual Report on Form 10-K for the fiscal year ended September 30, 1999.
- P Incorporated by reference to Amtech's Quarterly Report on Form 10-Q for the quarter ended March 31, 2001.