

Edgar Filing: NEON SYSTEMS INC - Form 10-Q/A

NEON SYSTEMS INC  
Form 10-Q/A  
January 07, 2003

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

Form 10-Q/A

(Mark One)

QUARTERLY REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE  
SECURITIES EXCHANGE ACT OF 1934

For the Quarterly Period 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: 0-25457

NEON Systems, Inc.

(Exact name of registrant as specified in its charter)

Delaware 76-0345839  
(State or other jurisdiction of (I.R.S. Employer Identification No.)  
incorporation or organization)

14100 Southwest Freeway, Suite 500, 77478  
Sugar Land, Texas (Zip Code)  
(Address of principal executive offices)

(281) 491-4200  
(Registrant's telephone number, including area code)

Indicate by check mark whether Registrant (1) has filed all reports required to be filed by Section 13 or 15(d) of the Securities Exchange Act of 1934 during the preceding 12 months (or for such shorter period that Registrant was required to file such reports), and (2) has been subject to such filing requirements for the past 90 days. Yes  No

The number of shares of the registrant's common stock outstanding as of November 11, 2002, was 8,718,427.

This Amendment No. 1 on Form 10-Q/A amends the Exhibit Schedule for the Registrant's Form 10-Q for the fiscal quarter ended September 30, 2002 filed on November 14, 2002 in its entirety and adds Exhibits 99.3 and 99.4 constituting the Certifications of the Chief Executive Officer and Chief Financial Officer of the Registrant required by Section 906 of the Sarbanes-Oxley Act of 2002.

ITEM 6. EXHIBITS

(a) EXHIBITS

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- 6.1 Employment Agreement dated May 29, 2002 between NEON Systems, Inc. and Brian D. Helman.
- 99.1 Certification of Louis R. Woodhill, Chief Executive Officer of NEON Systems, Inc. pursuant to Section 302 of the Sarbanes-Oxley Act of 2002.
- 99.2 Certification of Brian D. Helman, Chief Financial Officer of NEON Systems, Inc. pursuant to Section 302 of the Sarbanes-Oxley Act of 2002.
- 99.3 Certification of Louis R. Woodhill, Chief Executive Officer of NEON Systems, Inc. pursuant to 18 U.S.C. Section 1350, as adopted pursuant to Section 906 of the Sarbanes-Oxley Act of 2002.
- 99.4 Certification of Brian D. Helman, Chief Financial officer of NEON Systems, Inc. pursuant to 18 U.S.C. Section 1350, as adopted pursuant to Section 906 of the Sarbanes-Oxley Act of 2002.

SIGNATURES

Pursuant to the requirements 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.

NEON SYSTEMS, INC.

Date: January 6, 2002

/s/ Brian D. Helman

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Chief Financial Officer  
(Principal financial officer)