

KEY TECHNOLOGY INC

Form 3/A

December 19, 2013

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

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIESFiled 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 *

Zwerts Frank L. A.

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

03/01/2013

3. Issuer Name **and** Ticker or Trading Symbol
KEY TECHNOLOGY INC [KTEC]4. Relationship of Reporting
Person(s) to Issuer

(Check all applicable)

☒ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

President, EMEA

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

03/15/2013

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting Person

150 AVERY STREET

(Street)

WALLA

WALLA, WA 99362

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. 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

65,042 ⁽¹⁾

D

A

Common Stock

11,833 ⁽²⁾ ⁽³⁾

I

by Embla BVBA ⁽³⁾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)	
Warrants	02/28/2014	03/01/2016	Common Stock	19,812	\$ 11.78	D	Â
Warrants	02/28/2014	03/01/2016	Common Stock	4,930 ⁽⁴⁾	\$ 11.78	I	By Embla BVBA ⁽⁴⁾

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Zwerts Frank L. A. 150 AVERY STREET WALLA WALLA, WA 99362	Â X	Â	Â President, EMEIA	Â

Signatures

/s/ Frank L.A.
Zwerts

12/06/2013

**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).

The number of securities beneficially owned directly by Mr. Zwerts and reported in column 2 of Table I on the original Form 3 was overstated due to a mathematical error. Shares were originally reported as 112,584 shares. The actual shares acquired were 65,042. These

- (1) share numbers were also overstated on subsequent Forms 4 filed by the reporting person on July 7, 2013 and October 3, 2013. The number of shares held directly by Mr. Zwerts following the transactions reported on these Forms 4, but prior to the transfer described in footnote 3, was 101,353.

The number of securities beneficially owned indirectly by Mr. Zwerts through Embla BVBA and reported in column 2 of Table I on the original Form 3 was overstated due to a mathematical error. Shares were originally reported as 23,666. The actual shares acquired were

- (2) 11,833. These share numbers were also overstated on a subsequent Forms 4 filed by the reporting person on July 7, 2013 and mistakenly omitted entirely from the Form 4 filed on October 3, 2013. The number of shares held indirectly by Mr. Zwerts through Embla BVBA following the transactions reported on these Forms 4, but prior to the transfer described in footnote 3, was 11,833.

All securities beneficially owned indirectly by Mr. Zwerts through Embla BVBA and reported in column 2 of Table I were transferred to

- (3) Mr. Zwerts and are now beneficially owned directly by Mr. Zwerts. The total number of shares held directly by Mr. Zwerts following all transaction filed on Forms 4 is 113,186.

The warrants for shares of common stock beneficially owned indirectly by Mr. Zwerts through Embla BVBA were 4,930 and were

- (4) reported in column 3 of Table II on the original Form 3. The warrants were transferred to Mr. Zwerts and are now beneficially owned directly by Mr. Zwerts. The total number of warrants held directly by Mr. Zwerts is 24,742.

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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