

KEY TECHNOLOGY INC  
Form 3/A  
December 19, 2013

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

OMB APPROVAL

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**INITIAL STATEMENT OF 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 * |         | 2. Date of Event Requiring Statement | 3. Issuer Name <b>and</b> Ticker or Trading Symbol |  |
| Zwerts Frank L. A.                        |         | (Month/Day/Year)                     | KEY TECHNOLOGY INC [KTEC]                          |  |
| (Last)                                    | (First) | (Middle)                             | 03/01/2013   |  |
| 150 AVERY STREET                          |         |                                      | 4. Relationship of Reporting Person(s) to Issuer   | 5. If Amendment, Date Original Filed(Month/Day/Year)                   |
| (Street)                                  |         |                                      | (Check all applicable)                             | 03/15/2013   |
| WALLA                                     |         |                                      | <input checked="" type="checkbox"/> Director       | 6. Individual or Joint/Group Filing(Check Applicable Line)             |
| WALLA, WA 99362                           |         |                                      | <input checked="" type="checkbox"/> Officer        | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
| (City)                                    | (State) | (Zip)                                | (give title below)                                 | (specify below)  |
|   |         |                                      | President, EMEA                                    | <input type="checkbox"/> Form filed by More than One Reporting Person  |

**Table I - Non-Derivative Securities Beneficially Owned**

| 1. 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 <sup>(1)</sup>                                 | D  | ^   |
| Common Stock                    | 11,833 <sup>(2)</sup> <sup>(3)</sup>                  | I  | by Embla BVBA <sup>(3)</sup>                          |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. SEC 1473 (7-02)

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**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 Derivative | 5. 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 <sup>(4)</sup>       | \$ 11.78 | I                                     | By Embla BVBA <sup>(4)</sup> |

## Reporting Owners

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

## Signatures

/s/ Frank L.A.  
Zwerts  
Date: 12/06/2013

\*\*Signature of Reporting Person

## 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.
  - (2) 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 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.
  - (3) All securities beneficially owned indirectly by Mr. Zwerts through Embla BVBA and reported in column 2 of Table I were transferred to 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.
  - (4) The warrants for shares of common stock beneficially owned indirectly by Mr. Zwerts through Embla BVBA were 4,930 and were 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. 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.