**SMTC CORP** Form 3

February 04, 2015

#### 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 \*

A Sandberg David

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

02/04/2015

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

SMTC CORP [SMTX]

4. Relationship of Reporting Person(s) to Issuer

Filed(Month/Day/Year)

4. Nature of Indirect Beneficial

1969 SW 17TH ST.

(Street)

(Check all applicable)

10% Owner Other (give title below) (specify below)

6. Individual or Joint/Group

5. If Amendment, Date Original

Filing(Check Applicable Line) \_X\_ Form filed by One Reporting Person

Form filed by More than One Reporting Person

BOCA RATON, Â FLÂ 33486

(City) (State)

1. Title of Security (Instr. 4)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

\_X\_ Director

Officer

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form:

Ownership (Instr. 5)

Direct (D) or Indirect (I) (Instr. 5)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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.

SEC 1473 (7-02)

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

4. Conversion or Exercise

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership

(Instr. 5)

Expiration

Exercisable Date (Instr. 4) Amount or

Derivative Security

Price of

Security: Direct (D) or Indirect

(I) (Instr. 5)

Title

Number of Shares

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Restricted Stock Units	12/11/2015	12/11/2015	Common Stock	5,556	\$ 1.8	D	Â
Stock Options	12/11/2015	12/11/2024	Common Stock	20,230	\$ 1.8	D	Â

# **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Sandberg David
1969 SW 17TH ST.

 X Â Â

BOCA RATON, FLÂ 33486

## **Signatures**

/s/ David
Sandberg

\*\*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).

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.

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