

SECURITIES AND EXCHANGE COMMISSION

FORM 4

Statement of changes in beneficial ownership of securities

Filing Date: **2001-02-02** | Period of Report: **2001-01-26**

SEC Accession No. **0000926044-01-000016**

([HTML Version](#) on secdatabase.com)

SUBJECT COMPANY

APPLIED FILMS CORP

CIK: **1040660** | IRS No.: **841311581** | State of Incorporation: **CO** | Fiscal Year End: **0630**
Type: **4** | Act: **34** | File No.: **000-23103** | Film No.: **1524045**
SIC: **3674** Semiconductors & related devices

Mailing Address
9586 I-25 FRONTAGE ROAD
LONGMONT CO 80504

Business Address
9586 I-25 FRONTAGE ROAD
LONGMONT CO 80504
3035301411

REPORTING OWNER

FRANKENBERGER HELMUT

CIK: **1133295**
Type: **4**

Mailing Address
9586 I-25 FRONTAGE ROAD
LONGMONT CO 80504

Business Address
9586 I-25 FRONTAGE RD
LONGMONT CO 80504

U.S. SECURITIES AND EXCHANGE COMMISSION
Washington D.C. 20549
STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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(f) of the Investment Company Act of 1940

[] Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b)

1. Name and Address of Reporting Person*

Frankenberger Helmut
(Last) (First) (Middle)

9586 I-25 Frontage Road
(Street)

Longmont CO 80504
(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
Applied Films Corporation AFCO

3. IRS or Social Security Number of Reporting Person (Voluntary)

4. Statement for Month/Year
1/01

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

6. Relationship of Reporting Person to Issuer (Check all applicable)

Director 10% Owner
 Officer (give title below) Other (specify below)
- Executive Vice President

7. Individual or Joint/Group Filing (Check applicable line)

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

TABLE I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)
Common Stock

2. Transaction Date (Month/Day/Year)
1/26/01
3. Transaction Code (Instr. 8)
Code P
V -
4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)
Amount 1,000
(A) or (D) (A)
Price \$13.125
5. Amount of Securities Beneficially Owned at End of Month (Instr. 3 and 4)
1,000
6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)
(D)
7. Nature of Indirect Beneficial Ownership (Instr. 4)

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

(Print or Type Responses)

*If the Form is filed by more than one Reporting Person, see Instruction 4(b)(v) (over)

FORM 4 (continued)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)
Stock Option (right to buy)
2. Conversion or Exercise Price of Derivative Security
\$14.00
3. Transaction Date (Month/Day/Year)
1/24/01
4. Transaction Code (Instr. 8)
Code A
V -
5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)
(A) 38,000

6. Date Exercisable and Expiration Date (Month/Day/Year)

Date Exercisable (1)
Expiration Date 1/24/11

7. Title and Amount of Underlying Securities (Instr. 3 and 4)

Title Common Stock
Amount or Number of Shares 38,000

8. Price of Derivative Security (Instr. 5)

9. Number of Derivative Securities Beneficially Owned at End of Month (Instr. 4)

38,000

10. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 4)

(D)

11. Nature of Indirect Beneficial Ownership (Instr. 4)

Explanation of Responses:

(1) 25% of this stock option vests on each 1/24, beginning 1/24/02.

/s/ Helmut Frankenberger 2/2/01
**Signature of Reporting Person Date

**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 provided is insufficient, see Instruction 6 for procedure.