

Edgar Filing: Ascent Solar Technologies, Inc. - Form NT 10-K/A

Ascent Solar Technologies, Inc.
Form NT 10-K/A
April 04, 2019

SEC FILE NUMBER

001-32919

CUSIP NUMBER

043635408

UNITED STATES

SECURITIES AND EXCHANGE COMMISSION

WASHINGTON, DC 20549

FORM 12b-25

NOTIFICATION OF LATE FILING

(Check One): ☒ Form 10-K ☐ Form 20-F ☐ Form 11-K ☐ Form 10-Q

☐ Form 10-D ☐ Form N-SAR ☐ Form N-CSR

For Period Ended: December 31, 2018

☐ Transition Report on Form 10-K

☐ Transition Report on Form 20-F

☐ Transition Report on Form 11-K

☐ Transition Report on Form 10-Q

☐ Transition Report on Form N-SAR

For the Transition Period Ended:

Read Instruction (on back page) Before Preparing Form. Please Print or Type.

Nothing in this form shall be construed to imply that the Commission has verified any information contained herein.

If the notification relates to a portion of the filing checked above, identify the Item(s) to which the notification relates:

PART I – REGISTRANT INFORMATION

Ascent Solar Technologies, Inc.

Full Name of Registrant

Former Name if Applicable

12300 Grant Street

Address of Principal Executive Office (Street and Number)

Thornton, CO 80241

City, State and Zip Code

PART II – RULES 12b-25(b) AND (c)

If the subject report could not be filed without unreasonable effort or expense and the registrant seeks relief pursuant to Rule 12b-25(b), the following should be completed. (Check box if appropriate.)

(a) The reason described in reasonable detail in Part III of this form could not be eliminated without unreasonable effort or expense;

(b) The subject annual report, semi-annual report, transition report on Form 10-K, Form 20-F, Form 11-K, Form N-SAR or Form N-CSR, or portion thereof, will be filed on or before the fifteenth calendar day following the prescribed due date; or the subject quarterly report or transition report on Form 10-Q or subject distribution report on Form 10-D, or portion thereof, will be filed on or before the fifth calendar day following the prescribed due date; and

(c) The accountant's statement or other exhibit required by Rule 12b-25(c) has been attached if applicable.

PART III – NARRATIVE

Ascent Solar Technologies, Inc. (the “Company”) is unable to file its Annual Report on Form 10-K for the year ended December 31, 2018 (the “Annual Report”) within the prescribed time period without unreasonable effort and expense. Due to (i) the numerous and complex equity transactions which occurred during the reporting period (ii) the transition of certain personnel in the Company’s financial reporting department which occurred in late 2018 and early 2019, the Company and its auditors are unable to finalize all of the disclosures necessary for the completion of (i) its audited financial statements and (ii) management’s discussion and analysis of financial condition and results of operations, and for such disclosures to be included in the Annual Report in time to allow completion of the Annual Report within the prescribed time period.

The Company believes it will be able to file the Annual Report on or before the fifteenth calendar day following the prescribed due date.

[Explanatory note -- The Company previously filed an extension that inadvertently in one place made a reference to the Company's "Annual Report on Form 10-Q." This amendment corrects the reference to read "Annual Report on Form 10-K."]

PART IV – OTHER INFORMATION

(1) Name and telephone number of person to contact in regard to this notification

Victor Lee (720) 872-5000
(Name) (Area Code) (Telephone Number)

(2) Have all other periodic reports required under Section 13 or 15(d) of the Securities Exchange Act of 1934 or Section 30 of the Investment Company Act of 1940 during the preceding 12 months or for such shorter period that the registrant was required to file such report(s) been filed? If the answer is no, identify report(s).

ý Yes ¨ No

(3) Is it anticipated that any significant change in results of operations from the corresponding period for the last fiscal year will be reflected by the earnings statements to be included in the subject report or portion thereof?

¨ Yes ý No

If so, attach an explanation of the anticipated change, both narratively and quantitatively, and, if appropriate, state the reasons why a reasonable estimate of the results cannot be made.

Ascent Solar Technologies, Inc.
(Name of Registrant as Specified in Charter)

has caused this notification to be signed on its behalf by the undersigned hereunto duly authorized.

Date: April 4, 2019 By: /s/ Victor Lee
Victor Lee
President and Chief Executive Officer

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INSTRUCTION: The form may be signed by an executive officer of the registrant or by any other duly authorized representative. The name and title of the person signing the form shall be typed or printed beneath the signature. If the statement is signed on behalf of the registrant by an authorized representative (other than an executive officer), evidence of the representative's authority to sign on behalf of the registrant shall be filed with the form.

ATTENTION

Intentional misstatements or omissions of fact constitute Federal Criminal Violations (See 18 U.S.C. 1001).