## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

WASHINGTON, D.C. 20549

## **FORM 10-Q/A**

	(Amendment	No. 1)	
$\boxtimes$	QUARTERLY REPORT PURSUANT TO SECTION ACT OF 1934	N 13 OR 15(D) OF THE SECURITIES EXCHANGE	
	For the quarterly period ended September 29, 2013		
	OR		
	TRANSITION REPORT PURSUANT TO SECTION ACT OF 1934	ANSITION REPORT PURSUANT TO SECTION 13 OR 15(D) OF THE SECURITIES EXCHANGE Γ OF 1934	
	FOR THE TRANSITION PERIOD FROM TO		
	COMMISSION FILE N	UMBER 0-31051	
	SMTC CORPO		
	DELAWARE (STATE OR OTHER JURISDICTION OF INCORPORATION OR ORGANIZATION)	98-0197680 (I.R.S. EMPLOYER IDENTIFICATION NO.)	
	635 HOOD F MARKHAM, ONTARIO, (ADDRESS OF PRINCIPAL EXECU	CANADA L3R 4N6	
	(905) 479-1 (REGISTRANT'S TELEPHONE NUMB		
Excha	Indicate by check mark whether the registrant: (1) has filed all repoinge Act of 1934 during the preceding 12 months (or for such shorters been subject to such filing requirements for the past 90 days. Yes	er period that the registrant was required to file such reports), and	
Intera	Indicate by check mark whether the registrant has submitted electroctive Data File required to be submitted and posted pursuant to Rulding 12 months (or for such shorter period that the registrant was re-	e 405 of Regulation S-T (§232.405 of this chapter) during the	
report	Indicate by check mark whether the registrant is a large accelerated ing company. See: definition of "accelerated filer, large accelerated ange Act.		
	Large Accelerated Filer ☐ Accelerated Filer ☐ any 🗵	Non-accelerated Filer	
	Indicate by check mark whether the registrant is a shell company (a	s defined in Rule 12b-2 of the Exchange Act). Yes $\square$ No $\boxtimes$	
	As of November 6, 2013, SMTC Corporation had 16,377,526 shared voting stock, par value \$0.01 per share, outstanding.	s of common stock, par value \$0.01 per share, and one share of	

## **Explanatory Note**

The sole purpose of this Amendment No. 1 to SMTC Corporation's Quarterly Report on Form 10-Q for the period ended September 29, 2013, filed with the Securities and Exchange Commission on November 13, 2013 (the "Form 10-Q"), is to provide the condensed consolidated financial statements and related notes from the Form 10-Q formatted in XBRL (eXtensible Business Reporting Language) furnished as Exhibit 101 to the Form 10-Q in accordance with Rule 405 of Regulation S-T. No other changes have been made to the Form 10-Q.

#### **Item 6 Exhibits**

- 31.1 Certification of Lawrence H. Silber pursuant to Section 302 of the Sarbanes-Oxley Act of 2002, dated November 13, 2013.
- 31.2 Certification of Clarke H. Bailey pursuant to Section 302 of the Sarbanes-Oxley Act of 2002, dated November 13, 2013.
- 32.1 Certification of Lawrence H. Silber, pursuant to Section 1350, Chapter 63 of Title 18, United States Code, as adopted pursuant to Section 906 of the Sarbanes-Oxley Act of 2002, dated November 13, 2013.
- 32.2 Certification of Clarke H. Bailey, pursuant to Section 1350, Chapter 63 of Title 18, United States Code, as adopted pursuant to Section 906 of the Sarbanes-Oxley Act of 2002, dated November 13, 2013.

101.INS\*\* XBRL Instance

101.SCH\*\* XBRL Taxonomy Extension Schema

101.CAL\*\* XBRL Taxonomy Extension Calculation

101.DEF\*\* XBRL Taxonomy Extension Definition

101.LAB\*\* XBRL Taxonomy Extension Labels

101.PRE\*\* XBRL Taxonomy Extension Presentation

\*\* XBRL information is furnished and not filed or a part of a registration statement or prospectus for purposes of sections 11 or 12 of the Securities Act of 1933, as amended, is deemed not filed for purposes of section 18 of the Securities Exchange Act of 1934, as amended, and otherwise is not subject to liability under these sections.

#### **SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934, SMTC Corporation has duly caused this report to be signed on its behalf by the undersigned thereto duly authorized.

## **SMTC CORPORATION**

By: /s/ Lawrence H. Silber

Name: Lawrence H. Silber

Title: Interim President and Chief Executive Officer

By: /s/ Clarke H. Bailey

Name: Clarke H. Bailey

Title: Executive Chairman and Principal Accounting Officer

Date: November 13, 2013

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## CERTIFICATION PURSUANT TO SECTION 302 OF THE SARBANES-OXLEY ACT OF 2002

### CERTIFICATION

I, Lawrence H. Silber, certify that:

- 1. I have reviewed this quarterly report on Form 10-Q/A of SMTC Corporation;
- Based on my knowledge, this report does not contain any untrue statement of a material fact or omit to state a material fact
  necessary to make the statements made, in light of the circumstances under which such statements were made, not misleading with
  respect to the period covered by this report;
- 3. Based on my knowledge, the financial statements, and other financial information included in this report, fairly present in all material respects the financial condition, results of operations and cash flows of the registrant as of, and for, the periods presented in this report;
- 4. The registrant's other certifying officer(s) and I are responsible for establishing and maintaining disclosure controls and procedures (as defined in Exchange Act Rules 13a-15(e) and 15d-15(e)) and internal control over financial reporting (as defined in Exchange Act Rules 13a-15(f) and 15d-15(f)) for the registrant and have:
  - (a) Designed such disclosure controls and procedures, or caused such disclosure controls and procedures to be designed under our supervision, to ensure that material information relating to the registrant, including its consolidated subsidiaries, is made known to us by others within those entities, particularly during the period in which this report is being prepared;
  - (b) Designed such internal control over financial reporting, or caused such internal control over financial reporting to be designed under our supervision, to provide reasonable assurance regarding the reliability of financial reporting and the preparation of financial statements for external purposes in accordance with generally accepted accounting principles;
  - (c) Evaluated the effectiveness of the registrant's disclosure controls and procedures and presented in this report our conclusions about the effectiveness of the disclosure controls and procedures, as of the end of the period covered by this report based on such evaluation; and
  - (d) Disclosed in this report any change in the registrant's internal control over financial reporting that occurred during the registrant's most recent fiscal quarter that has materially affected, or is reasonably likely to materially affect, the registrant's internal control over financial reporting; and
- 5. The registrant's other certifying officer and I have disclosed, based on our most recent evaluation of internal control over financial reporting, to the registrant's auditors and the audit committee of the registrant's board of directors (or persons performing the equivalent functions):
  - (a) All significant deficiencies and material weaknesses in the design or operation of internal control over financial reporting which are reasonably likely to adversely affect the registrant's ability to record, process, summarize and report financial information; and
  - (b) Any fraud, whether or not material, that involves management or other employees who have a significant role in the registrant's internal control over financial reporting.

Date: November 13, 2013

/s/ Lawrence H. Silber

Lawrence H. Silber

Interim President and Chief Executive Officer

## CERTIFICATION PURSUANT TO SECTION 302 OF THE SARBANES-OXLEY ACT OF 2002

### CERTIFICATION

I, Clarke H. Bailey, certify that:

- 1. I have reviewed this quarterly report on Form 10-Q/A of SMTC Corporation;
- Based on my knowledge, this report does not contain any untrue statement of a material fact or omit to state a material fact necessary
  to make the statements made, in light of the circumstances under which such statements were made, not misleading with respect to
  the period covered by this report;
- 3. Based on my knowledge, the financial statements, and other financial information included in this report, fairly present in all material respects the financial condition, results of operations and cash flows of the registrant as of, and for, the periods presented in this report;
- 4. The registrant's other certifying officer(s) and I are responsible for establishing and maintaining disclosure controls and procedures (as defined in Exchange Act Rules 13a-15(e) and 15d-15(e)) and internal control over financial reporting (as defined in Exchange Act Rules 13a-15(f) and 15d-15(f)) for the registrant and have:
  - (a) Designed such disclosure controls and procedures, or caused such disclosure controls and procedures to be designed under our supervision, to ensure that material information relating to the registrant, including its consolidated subsidiaries, is made known to us by others within those entities, particularly during the period in which this report is being prepared;
  - (b) Designed such internal control over financial reporting, or caused such internal control over financial reporting to be designed under our supervision, to provide reasonable assurance regarding the reliability of financial reporting and the preparation of financial statements for external purposes in accordance with generally accepted accounting principles;
  - (c) Evaluated the effectiveness of the registrant's disclosure controls and procedures and presented in this report our conclusions about the effectiveness of the disclosure controls and procedures, as of the end of the period covered by this report based on such evaluation; and
  - (d) Disclosed in this report any change in the registrant's internal control over financial reporting that occurred during the registrant's most recent fiscal quarter that has materially affected, or is reasonably likely to materially affect, the registrant's internal control over financial reporting; and
- 5. The registrant's other certifying officer and I have disclosed, based on our most recent evaluation of internal control over financial reporting, to the registrant's auditors and the audit committee of the registrant's board of directors (or persons performing the equivalent functions):
  - (a) All significant deficiencies and material weaknesses in the design or operation of internal control over financial reporting which are reasonably likely to adversely affect the registrant's ability to record, process, summarize and report financial information; and
  - (b) Any fraud, whether or not material, that involves management or other employees who have a significant role in the registrant's internal control over financial reporting.

Date: November 13, 2013

/s/ Clarke H. Bailey

Clarke H. Bailey Executive Chairman and Principal Accounting Officer

# CERTIFICATION PURSUANT TO SECTION 1350, CHAPTER 63 OF TITLE 18, UNITED STATES CODE, AS ADOPTED PURSUANT TO SECTION 906 OF THE SARBANES-OXLEY ACT OF 2002

Pursuant to Section 1350, Chapter 63 of Title 18, United States Code, as adopted pursuant to Section 906 of the Sarbanes-Oxley Act of 2002, the undersigned, as chief executive officer of SMTC Corporation (the "Company"), does hereby certify that to the undersigned's knowledge:

- 1) the Company's quarterly report on Form 10-Q/A for the quarter ended September 29, 2013 fully complies with the requirements of Section 13(a) or 15(d) of the Securities Exchange Act of 1934; and
- 2) the information contained in the Company's quarterly report on Form 10-Q/A for the quarter ended September 29, 2013 fairly presents, in all material respects, the financial condition and results of operations of the Company.

/s/ Lawrence H. Silber

Lawrence H. Silber
Interim President and Chief Executive Officer

Date: November 13, 2013

A signed original of this written statement required by Section 906 has been provided to SMTC Corporation and will be retained by SMTC Corporation and furnished to the Securities and Exchange Commission or its staff upon request.

# CERTIFICATION PURSUANT TO SECTION 1350, CHAPTER 63 OF TITLE 18, UNITED STATES CODE, AS ADOPTED PURSUANT TO SECTION 906 OF THE SARBANES-OXLEY ACT OF 2002

Pursuant to Section 1350, Chapter 63 of Title 18, United States Code, as adopted pursuant to Section 906 of the Sarbanes-Oxley Act of 2002, the undersigned, as principal accounting officer of SMTC Corporation (the "Company"), does hereby certify that to the undersigned's knowledge:

- 1) the Company's quarterly report on Form 10-Q/A for the quarter ended September 29, 2013 fully complies with the requirements of Section 13(a) or 15(d) of the Securities Exchange Act of 1934; and
- 2) the information contained in the Company's quarterly report on Form 10-Q/A for the quarter ended September 29, 2013 fairly presents, in all material respects, the financial condition and results of operations of the Company.

/s/ Clarke H. Bailey

Clarke H. Bailey Executive Chairman and Principal Accounting Officer

Date: November 13, 2013

A signed original of this written statement required by Section 906 has been provided to SMTC Corporation and will be retained by SMTC Corporation and furnished to the Securities and Exchange Commission or its staff upon request.