

APPLIED OPTOELECTRONICS, INC.

Form 4

November 07, 2014

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

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

**STATEMENT OF CHANGES IN 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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Chang Hung-Lun (Fred)

(Last) (First) (Middle)

C/O APPLIED
OPTOELECTRONICS, INC., 13115
JESS PIRTLE BLVD.

(Street)

SUGAR LAND, TX 77478

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
APPLIED OPTOELECTRONICS,
INC. [AAOI]

3. Date of Earliest Transaction
(Month/Day/Year)
11/05/2014

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director ____ 10% Owner
____X____ Officer (give title ____ Other (specify
below) below)

*** See Remarks

6. Individual or Joint/Group Filing(Check
Applicable Line)
____X____ 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)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock, \$0.001 par value	11/05/2014		M	367 A \$ 6	3,773	D	
Common Stock, \$0.001 par value	11/05/2014		M	538 A \$ 6	4,311	D	
Common Stock,	11/05/2014		S	100 ⁽¹⁾ D \$ 15.71	4,211	D	

\$0.001 par
value

Common
Stock,
\$0.001 par
value

11/05/2014

S

100 (1) D

\$ 15.72 4,111

D

Common
Stock,
\$0.001 par
value

11/05/2014

S

100 (1) D

\$
15.7125 4,011

D

Common
Stock,
\$0.001 par
value

11/05/2014

S

100 (1) D

\$ 15.67 3,911

D

Common
Stock,
\$0.001 par
value

11/05/2014

S

100 (1) D

\$ 15.57 3,811

D

Common
Stock,
\$0.001 par
value

11/05/2014

S

100 (1) D

\$ 15.58 3,711

D

Common
Stock,
\$0.001 par
value

11/05/2014

S

100 (1) D

\$ 15.76 3,611

D

Common
Stock,
\$0.001 par
value

11/05/2014

S

100 (1) D

\$ 15.76 3,511

D

Common
Stock,
\$0.001 par
value

11/05/2014

S

100 (1) D

\$ 15.76 3,411

D

Common
Stock,
\$0.001 par
value

11/05/2014

S

100 (1) D

\$ 15.695 3,311

D

Common
Stock,
\$0.001 par
value

11/05/2014

S

100 (1) D

\$ 15.76 3,211

D

Common
Stock,
\$0.001 par

11/05/2014

S

100 (1) D

\$ 15.76 3,111

D

value

Common Stock, \$0.001 par value	11/05/2014	S	100 <u>(1)</u>	D	\$ 15.58	3,011	D
Common Stock, \$0.001 par value	11/05/2014	S	100 <u>(1)</u>	D	\$ 15.76	2,911	D
Common Stock, \$0.001 par value	11/05/2014	S	100 <u>(1)</u>	D	\$ 15.5801	2,811	D
Common Stock, \$0.001 par value	11/05/2014	S	206 <u>(1)</u>	D	\$ 15.77	2,605	D
Common Stock, \$0.001 par value	11/05/2014	S	100 <u>(1)</u>	D	\$ 15.8275	2,505	D
Common Stock, \$0.001 par value	11/05/2014	S	100 <u>(1)</u>	D	\$ 15.7175	2,405	D
Common Stock, \$0.001 par value	11/05/2014	S	100 <u>(1)</u>	D	\$ 15.75	2,305	D
Common Stock, \$0.001 par value	11/05/2014	S	105 <u>(1)</u>	D	\$ 15.6	2,200	D
Common Stock, \$0.001 par value	11/05/2014	S	100 <u>(1)</u>	D	\$ 15.61	2,100	D

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

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SEC 1474
(9-02)

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

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repor Trans (Instr
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Chang Hung-Lun (Fred)
C/O APPLIED OPTOELECTRONICS, INC.
13115 JESS PIRTLE BLVD.
SUGAR LAND, TX 77478

*** See Remarks

Signatures

/s/ David C. Kuo for Hung-Lun (Fred)
Chang

11/07/2014

**Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 4(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).

(1) Sales were effected pursuant to Rule 10b5-1 trading plan dated May 13, 2014.

Remarks:

** Senior Vice President of Optical Component Business Unit

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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