

WASSERMAN YUVAL
Form 4
May 08, 2018

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
WASSERMAN YUVAL

2. Issuer Name and Ticker or Trading Symbol
ADVANCED ENERGY INDUSTRIES INC [AEIS]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
1625 SHARP POINT DRIVE
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
05/04/2018

Director 10% Owner
 Officer (give title below) Other (specify below)
President & CEO

FORT COLLINS, CO 80525

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

(City) (State) (Zip)

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount or Price | | |
| Common Stock | 05/04/2018 | | M | | 930 ⁽¹⁾ A \$ 12.77 | 141,929 | D |
| Common Stock | 05/04/2018 | | M | | 3,938 ⁽¹⁾ A \$ 15.65 | 145,867 | D |
| Common Stock | 05/04/2018 | | M | | 2,361 ⁽¹⁾ A \$ 16.25 | 148,228 | D |
| Common Stock | 05/04/2018 | | M | | 3,938 ⁽¹⁾ A \$ 14.52 | 152,166 | D |
| Common Stock | 05/04/2018 | | M | | 7,876 ⁽¹⁾ A \$ 12.44 | 160,042 | D |

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| | | | | | | | |
|--------------|------------|---|------------------------------|---|-------------------------|------------------------|---|
| Common Stock | 05/04/2018 | M | <u>11,813</u> ⁽¹⁾ | A | \$ 9.51 | 171,855 | D |
| Common Stock | 05/04/2018 | M | <u>8,500</u> ⁽¹⁾ | A | \$ 11.02 | 180,355 | D |
| Common Stock | 05/04/2018 | M | <u>13,171</u> ⁽¹⁾ | A | \$ 18.77 | 193,526 | D |
| Common Stock | 05/04/2018 | M | <u>3,013</u> ⁽¹⁾ | A | \$ 14.21 | 196,539 | D |
| Common Stock | 05/04/2018 | S | <u>8,345</u> ⁽¹⁾ | D | \$ 61.22 ⁽²⁾ | 188,194 | D |
| Common Stock | 05/04/2018 | S | <u>38,385</u> ⁽¹⁾ | D | \$ 62.53 ⁽³⁾ | 149,809 | D |
| Common Stock | 05/04/2018 | S | <u>8,810</u> ⁽¹⁾ | D | \$ 62.96 ⁽⁴⁾ | 140,999 ⁽⁵⁾ | 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)

| 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) | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Stock Options (right to buy) | \$ 12.77 | 05/04/2018 | | M | 930 <u>(1)</u> | 10/27/2013 | 10/27/2019 | Common Stock | 930 <u>(1)</u> |
| Stock Options (right to buy) | \$ 15.65 | 05/04/2018 | | M | 3,938 <u>(1)</u> | 02/16/2014 | 02/16/2020 | Common Stock | 3,938 <u>(1)</u> |

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| | | | | | | | | |
|------------------------------|----------|------------|---|----------------------|------------|------------|--------------|----------------------|
| Stock Options (right to buy) | \$ 16.25 | 05/04/2018 | M | <u>2,361</u> (1) | 04/20/2014 | 04/20/2020 | Common Stock | <u>2,361</u> (1) |
| Stock Option (right to buy) | \$ 14.52 | 05/04/2018 | M | <u>3,938</u> (1) | 02/15/2015 | 02/15/2021 | Common Stock | <u>3,938</u> (1) |
| Stock Option (right to buy) | \$ 12.44 | 05/04/2018 | M | <u>7,876</u> (1) | 07/22/2015 | 07/22/2021 | Common Stock | <u>7,876</u> (1) |
| Stock Option (right to buy) | \$ 9.51 | 05/04/2018 | M | <u>11,813</u> (1) | 10/26/2015 | 10/26/2021 | Common Stock | <u>11,813</u> (1) |
| Stock Option (right to buy) | \$ 11.02 | 05/04/2018 | M | <u>8,500</u> (1) | 01/03/2013 | 01/03/2022 | Common Stock | <u>8,500</u> (1) |
| Stock Option (right to buy) | \$ 18.77 | 05/04/2018 | M | <u>13,171</u> (1) | 10/01/2017 | 01/01/2024 | Common Stock | <u>13,171</u> (1) |
| Stock Options (right to buy) | \$ 14.21 | 05/04/2018 | M | <u>3,013</u> (1) | 04/28/2015 | 04/28/2021 | Common Stock | <u>3,013</u> (1) |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-----------------|-------|
| | Director | 10% Owner | Officer | Other |
| WASSERMAN YUVAL 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525 | X | | President & CEO | |

Signatures

/s/ Thomas O. McGimpsey
(Attorney-in-Fact) 05/08/2018

__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) Shares exercised and sold in accordance with 10b5-1 trading plan.

The price reported in Column 4 is an average price. These shares sold in multiple transactions at prices ranging from \$60.78 to \$61.71.

(2) The reporting person undertakes to provide to Advanced Energy, any security holder of Advanced Energy, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote.

The price reported in Column 4 is an average price. These shares sold in multiple transactions at prices ranging from \$61.85 to \$62.85.

(3) The reporting person undertakes to provide to Advanced Energy, any security holder of Advanced Energy, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote.

The price reported in Column 4 is an average price. These shares sold in multiple transactions at prices ranging from \$62.86 to \$63.13.

(4) The reporting person undertakes to provide to Advanced Energy, any security holder of Advanced Energy, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote.

(5) Represents 45,388 shares of Restricted Stock Units and 95,611 shares of common stock.

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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