Edgar Filing: ADVANCED ENERGY INDUSTRIES INC - Form 4

ADVANCED ENERGY INDUSTRIES INC

Form 4

October 30, 2013

FORM 4

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

OMB Number:

3235-0287

2005

Check this box if no longer

January 31, Expires:

OMB APPROVAL

subject to Section 16. Form 4 or

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

Estimated average burden hours per response... 0.5

Form 5 obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person *

2. Issuer Name and Ticker or Trading

Issuer

GRADY EDWARD C

Symbol ADVANCED ENERGY

(Check all applicable)

5. Relationship of Reporting Person(s) to

INDUSTRIES INC [AEIS]

(Last)

(City)

(First) (Middle)

(Zip)

3. Date of Earliest Transaction

X__ Director Officer (give title

10% Owner Other (specify

1625 SHARP POINT DRIVE

(Street)

(State)

10/29/2013

(Month/Day/Year)

4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

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

Person

below)

FORT COLLINS, CO 80525

(City)	(State)	Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned							
1.Title of	2. Transaction Date	2A. Deemed	3.	4. Securities Acquired (A) 5. Amount of	6.	7. Nature of		
Security	(Month/Day/Year)	Execution Date, if	Transactio	omr Disposed of (D)	Securities	Ownership	Indirect		
(Instr. 3)		any	Code	(Instr. 3, 4 and 5)	Beneficially	Form:	Beneficial		
		(Month/Day/Year)	(Instr. 8)		Owned	Direct (D)	Ownership		
					Following	or Indirect	(Instr. 4)		
				(4)	Reported	(I)			
				(A)	Transaction(s)	(Instr. 4)			
			Code V	Amount (D) Price	(Instr. 3 and 4)				
Common Stock	10/29/2013		S	3,750 D 21.508	7 47,250 (3)	D			

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

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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	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Title	e and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orNumber	Expiration D	ate	Amou	nt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securi	ties	(Instr. 5)	Bene
	Derivative				Securities			(Instr.	3 and 4)		Owne
	Security				Acquired						Follo
	·				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						`
					4, and 5)						
					, ,						
									Amount		
						Date	Expiration		or		
							Date	Title Number	Number		
						Lacicisable	Date		of		
				Code V	(A) (D)				Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships					
1 8	Director	10% Owner	Officer	Other		
GRADY EDWARD C 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525	X					

Signatures

Thomas O. McGimpsey -Attorney-in-Fact

Explanation of Responses:

**Signature of Reporting Person

- * 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).

Date

- (1) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 Plan.
- The price reported in Column 4 is an average price. These shares were sold in multiple transactions at prices ranging from \$21.50 to \$21.52. 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 saparate price within the ranges set forth in this footnote.
- Mr. Grady has been granted a total of 51,000 RSUs in six grants: (A) 15,000 RSUs granted on May 7, 2008;(B) 6,000 RSUs granted on May 6, 2009; (C) 6,000 RSUs granted on May 4, 2010. These RSUs vest in 4 equal installments beginning 1 year from grant date. (D) 8,000 RSUs granted May 4, 2011; (E) 8,000 RSUs granted May 2, 2012; (F) 8,000 RSUs granted May 1, 2013. These RSUs (D-F) will vest 100% on the first anniversary of the grant date. As of this reporting date, the RSUs have vests as to 37,750 shares.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

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