

ADVANCED ENERGY INDUSTRIES INC
Form 4
December 14, 2015

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
MCGIMPSEY THOMAS O

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)
12/10/2015

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
EVP Gen Counsel & Corp Sec

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 (A) or (D) Price		
Common Stock	12/10/2015		M		800 ⁽¹⁾ A \$ 16.25	20,315	D
Common Stock	12/10/2015		M		3,937 ⁽¹⁾ A \$ 13.85	24,252	D
Common Stock	12/10/2015		M		23,669 ⁽¹⁾ A \$ 11.02	47,921	D
Common Stock	12/10/2015		S		28,406 ⁽¹⁾ D \$ 29.1467 ⁽²⁾	19,515	D
Common Stock	12/10/2015		D		2,706 D \$ 29.1516	16,809	D

Edgar Filing: ADVANCED ENERGY INDUSTRIES INC - Form 4

Common Stock 12/10/2015 D 663 D \$ 29.1516 16,146 ⁽³⁾ D

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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)	Amount or Number of Shares
Stock Options (right to buy)	\$ 16.25	12/10/2015		M	800 ⁽¹⁾	04/20/2013 04/20/2020	Common Stock	800
Stock Options (right to buy)	\$ 13.85	12/10/2015		M	3,937 ⁽¹⁾	07/20/2013 07/20/2020	Common Stock	3,937
Stock Options (right to buy)	\$ 11.02	12/10/2015		M	23,669 ⁽¹⁾	02/06/2014 01/03/2022	Common Stock	23,669

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
MCGIMPSEY THOMAS O 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525			EVP Gen Counsel & Corp Sec	

Signatures

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

12/14/2015

__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) 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 sold in multiple transactions at prices ranging from \$28.93 to \$29.68.
- (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 for the in this footnote.
- (3) Represents 16,146 shares of Restricted Stock units (RSUs). As of the transaction date, the restricted stock units have vested as to 12,347 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.