

ADVANCED ENERGY INDUSTRIES INC

Form 4

February 03, 2015

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

OMB APPROVAL

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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)
01/30/2015

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

FORT COLLINS, CO 80525

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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| Common Stock | 01/30/2015 | | A | (A) or (D) Amount (1) 18,412 | \$ 0 22,097 | D | |
| Common Stock | 01/30/2015 | | F | (A) or (D) Amount (2) 6,065 | \$ 24 16,032 (3) | 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)

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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) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| Employee Stock Option (right to buy) | \$ 11.02 | 01/30/2015 | | A ⁽⁴⁾ | 15,781 ⁽⁵⁾ | 01/30/2015 01/03/2022 | Common Stock 15,781 |

Reporting Owners

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

Signatures

/s/ Thomas O. McGimpsey
(Attorney-in-Fact)
02/03/2015
**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 reported transaction is the vesting of performance units reported on Form 4 filed January 6, 2012.
- (2) Payment of tax liability by withholding securities incident to vesting of restricted stock.
- (3) Represents 15,369 shares of Restricted Stock units (RSUs) and 663 shares of Employee Stock Purchase Plan Shares. As of the transaction date, the restricted stock units have vested as to 14,369 shares.
- (4) The reported transaction is the vesting of performance stock options reported on Form 4 filed January 6, 2012
- (5) This entry provides for the updated total outstanding performance stock options previously voluntarily reported on Form 4 filed January 6, 2012. The original 50,906 performance stock option represents 2X target. Achievement was approved at 62% or 15,781 shares. The remaining 35,125 performance stock options in respect of the 2014 performance period did not vest.

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.