## Edgar Filing: WASSERMAN YUVAL - Form 4

Form 4 February 11, 2013 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 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person <sup>*</sup> . 2. Issuer Name and Ticker or Trading Symbol ADVANCED ENERGY INDUSTRIES INC [AEIS] (Last) (First) (Middle) 3. Date of Earliest Transaction (Last) (First) (Middle) 3. Date of Earliest Transaction (Last) (First) (Middle) 2/208/2013 (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 0/208/2013 (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 0/208/2013 (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 0/208/2013 (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 10% Owner (Month/Day/Year) 10% Owner (Month/Day/Year)
FORM 4       UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549       OMB APPROVAL         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       OMB Number: SECURITIES       2005         Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. See Instruction 1(b).       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 1(b).       State Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940       State Public Vility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940         (Print or Type Responses)       2. Issuer Name and Ticker or Trading Symbol ADVANCED ENERGY INDUSTRIES INC [AEIS]       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       Director X. Officer (give tile below)       10% Owner X. Officer (give tile below)
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       OMB Number: 2005 SECURITIES       Statement of Changes in Beneficial ownership 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 1(b).       Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1940       State of Points Section 30(h) of the Investment Company Act of 1940         (Print or Type Responses)       2. Issuer Name and Ticker or Trading Symbol ADVANCED ENERGY INDUSTRIES INC [AEIS]       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       Director 
OME 3235-0287         Washington, D.C. 20549         Check this box if no longer subject to Section 16.       STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16.       OME Number: 3235-0287         STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16.       Expires: January 31, 2005         Form 4 or Form 5       Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue.       Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 1(b).         (Print or Type Responses)         1. Name and Address of Reporting Person * WASSERMAN YUVAL       Susuer Name and Ticker or Trading Symbol ADVANCED ENERGY INDUSTRIES INC [AEIS]       S. Relationship of Reporting Person(s) to Issuer         (Last) (First) (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       Director Z. Officer (give tile 10% Owner         (Last) (First) (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       — Director Z. Officer (give tile 10% Owner
if no longer subject to Section 16.       STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16.       Expires:       Control of the 2005         Form 4 or Form 5       Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. See Instruction 1(b).       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       Section 17(a) of the Public Utility Holding Company Act of 1940         (Print or Type Responses)       2. Issuer Name and Ticker or Trading Symbol ADVANCED ENERGY INDUSTRIES INC [AEIS]       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       Director -X_Officer (give title       10% Owner -MOW other (specify below)
subject to subject to Section 16.       STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF Section 16.       Estimated average burden hours per response         Form 4 or Form 5       Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations       Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue.       Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940       Section 17(a)         (Print or Type Responses)       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       Director -X_Officer (give tille       10% Owner -X_Officer (give tille         1625       SHAPP POINT DRIVE       O2(09/2012)       O2(09/2012)       Other (specify below)
Form 4 or       response       0.5         Form 5       Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,       0.5         obligations       Section 17(a) of the Public Utility Holding Company Act of 1935 or Section       0.5         may continue.       Section 17(a) of the Public Utility Holding Company Act of 1935 or Section       0.5         see Instruction       30(h) of the Investment Company Act of 1940       1(b).         (Print or Type Responses)       2. Issuer Name and Ticker or Trading       5. Relationship of Reporting Person(s) to         I. Name and Address of Reporting Person <sup>*</sup> 2. Issuer Name and Ticker or Trading       5. Relationship of Reporting Person(s) to         WASSERMAN YUVAL       Symbol       Issuer       Issuer         ADVANCED ENERGY       (Check all applicable)       10% Owner         (Last)       (First)       Middle)       3. Date of Earliest Transaction       Director       10% Owner         (Month/Day/Year)       2.009(2012)       Director       10% Owner       0ther (specify below)
Form 5 obligations may continue. See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person <sup>*</sup> WASSERMAN YUVAL (Last) (First) (Middle) (Last) (First) (Middle)
obligations may continue. See Instruction 1(b).       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)       30(h) of the Investment Company Act of 1940         1. Name and Address of Reporting Person * WASSERMAN YUVAL       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       5. Relationship of Reporting Person(s) to Issuer         1625 SHARP POINT DRIVE       02/02/2012       Director (20012       10% Owner Director (South Control South Control
See Instruction       30(h) of the Investment Company Act of 1940         1(b).       (Print or Type Responses)         1. Name and Address of Reporting Person <sup>*</sup> .       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         WASSERMAN YUVAL       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       Check all applicable)         1625 SHAPP POINT DPIVE       020(9/2012)       020(9/2012)       Director below)       10% Owner below)
(Print or Type Responses)       1. Name and Address of Reporting Person *       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         WASSERMAN YUVAL       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       Check all applicable)         1625 SHAPP POINT DPIVE       02/09/2012       02/09/2012       Director       10% Owner
1. Name and Address of Reporting Person *       2. Issuer Name and Ticker or Trading Symbol       5. Relationship of Reporting Person(s) to Issuer         WASSERMAN YUVAL       Symbol       ADVANCED ENERGY INDUSTRIES INC [AEIS]       5. Relationship of Reporting Person(s) to Issuer         (Last)       (First)       (Middle)       3. Date of Earliest Transaction (Month/Day/Year)       5. Relationship of Reporting Person(s) to Issuer         1625 SHAPP POINT DRIVE       02/09/2012       02/09/2012       5. Relationship of Reporting Person(s) to Issuer
WASSERMAN YUVAL     Symbol     Issuer       ADVANCED ENERGY INDUSTRIES INC [AEIS]     (Check all applicable)       (Last)     (First)     (Middle)       3. Date of Earliest Transaction (Month/Day/Year)
WASSERMAN YUVAL     Symbol     Issuer       ADVANCED ENERGY INDUSTRIES INC [AEIS]     (Check all applicable)       (Last)     (First)     (Middle)       3. Date of Earliest Transaction (Month/Day/Year)
(Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Director (Month/Day/Year) Director (Specify below) Director (Specify belo
(Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Director Director 10% Owner 0/00 (2012)
1625 SHAPP POINT DPIVE 02/09/2012
1625 SUAPP DOINT DPIVE 02(09/2012 below) below)
resident rinn rinns bus. Unit
(Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check
Filed(Month/Day/Year) Applicable Line)
_X_ Form filed by One Reporting Person         Form filed by More than One Reporting
FORT COLLINS, CO 80525
(City) (State) (Zip) <b>Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned</b>
1.Title of2. Transaction Date2A. Deemed3.4. Securities Acquired5. Amount of6.7. Nature of
Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of (D) Securities Ownership Indirect
(Instr. 3)anyCode(Instr. 3, 4 and 5)BeneficiallyForm: DirectBeneficial(Month/Day/Year)(Instr. 8)Owned(D) orOwnership
Following Indirect (I) (Instr. 4)
(A) Reported (Instr. 4) Transaction(s)
or (Instr. 3 and 4)
Code V Amount (D) Price
Common         \$ $S_{t-1}$ 02/08/2013 $S_{(1)}^{(1)}$ 10,526         D         16.37         25,517 $(3)$ D
Stock $3\underline{(2)}$ $10,520$ $D$ $10.57$ $25,517$ $\underline{(2)}$ $D$

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.

 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)	4. Transactio Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3,			7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr
			Code V	4, and 5)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

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## **Reporting Owners**

Relationships							
Director	10% Owner	Officer	Other				
		President Thin Films Bus. Unit					
	0	2/11/2013					
n		Date					
	Director	0	Director 10% Owner Officer President Thin Films Bus. Unit 02/11/2013				

## **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 trading plan adopted by the reporting person on 3/7/2012.

The price reported in Column 4 for this sale is an average price. These shares were sold in two transactions at prices ranging from \$16.39 to \$16.36, inclusive. The reporting person undertakes to provide to Advanced Energy, any security holder of Advanced Energy, or the

- (2) to \$10.50, inclusive. The reporting person undertakes to provide to Advanced Energy, any security noted of Advanced Energy, of 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.
- (3) Represents 25,517 shares of Restricted Stock Units. As of the transaction date, the restricted stock units have vested as to 12,389 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.