Edgar Filing: ADVANCED ENERGY INDUSTRIES INC - Form 4

ADVANCED ENERGY INDUSTRIES INC

Form 4 May 06, 2016

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

30(h) of the Investment Company Act of 1940

OMB APPROVAL

Number: 3235-0287

Synings: January 31,

Expires:

Estimated average

burden hours per response... 0.5

if no longer subject to Section 16. Form 4 or Form 5

obligations

may continue.

See Instruction

Check this box

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).

(Print or Type Responses)

1. Name and Address of Reporting Person ** BALL FREDERICK			2. Issuer Name and Ticker or Trading Symbol	5. Relationship of Reporting Person(s) to Issuer			
			ADVANCED ENERGY INDUSTRIES INC [AEIS]	(Check all applicable)			
(Last) 1625 SHARF	(First) P POINT DI	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 05/05/2016	_X_ Director 10% Owner Officer (give title below) Other (specify below)			
	(Street)		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			
FORT COLLINS, CO 80525				Form filed by More than One Reporting Person			
(City)	(State)	(Zip)		· ID: I C D C II O			

` •	· · · ·	1 abic	e I - Noll-D	erivative Securities Acqu	uirea, Disposea oi	, or benefician	y Owned
1.Title of	2. Transaction Date	2A. Deemed	3.	4. Securities Acquired	5. Amount of	6. Ownership	7. Nature of
Security	(Month/Day/Year)	Execution Date, if	Transactio	n(A) or Disposed of (D)	Securities	Form: Direct	Indirect
(Instr. 3)		any	Code	(Instr. 3, 4 and 5)	Beneficially	(D) or	Beneficial
		(Month/Day/Year)	(Instr. 8)		Owned	Indirect (I)	Ownership
					Following	(Instr. 4)	(Instr. 4)
				(4)	Reported		
				(A)	Transaction(s)		
				or			

		Code `	V	Amount	or (D)	Price	Transaction(s) (Instr. 3 and 4)	
Common Stock	05/05/2016	A		8,000 (1)	A	\$ 34.55	28,500 (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.

SEC 1474

(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

Edgar Filing: ADVANCED ENERGY INDUSTRIES INC - Form 4

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Title a	ınd	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	onNumber	Expiration D	ate	Amount	of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Underlyi	ing	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securitie	es	(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)						
								Δ.	mount		
								or			
						Date	Expiration		umber		
						Exercisable	Date	of			
				Code V	(A) (D)				nares		

Reporting Owners

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

Signatures

Thomas O. McGimpsey - 05/06/2016 Attorney-in-Fact

**Signature of Reporting Person 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).

Date

(1) The restricted stock units granted on May 5, 2016 will vest 100% at the first anniversary of the grant date. This is an annual non-employee director grant as outlined in the 2016 proxy.

Mr. Ball has been granted a total of 75,000 RSUs in nine grants: (A) 15,000 RSUs granted on October 28, 2008; (B) 6,000 RSUs granted on May 6, 2009; (C) 6,000 RSUs granted on May 4, 2010; these RSU grants vest annually in four equal installments beginning 1 year after 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; (G) 8,000 RSUs granted May 7, 2014; (H) 8,000 RSUs granted May 7, 2015; (I) 8,000 RSUs granted May 5, 2016. Grants (D-I) vest 100% at the first anniversary of the grant date. As of this filing, the RSU shares have vested as to 59,000 shares and Mr. Ball holds 12,500 of the vested RSUs

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.

Reporting Owners 2