

SCHATZ DOUGLAS S

Form 4

October 15, 2009

**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 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

## OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
SCHATZ DOUGLAS S & SCHATZ  
JILL E FAMILY TRUST

(Last) (First) (Middle)

PO BOX 481

(Street)

FORT COLLINS, CO 80522

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
ADVANCED ENERGY  
INDUSTRIES INC [AEIS]

3. Date of Earliest Transaction  
(Month/Day/Year)  
10/12/2009

4. If Amendment, Date Original  
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_X\_\_\_\_ 10% Owner  
\_\_\_\_ Officer (give title below) \_\_\_\_ Other (specify below)

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_\_\_ Form filed by One Reporting Person  
\_X\_ Form filed by More than One Reporting  
Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed Execution Date, if any<br>(Month/Day/Year) | 3. Transaction Code<br>(Instr. 8) | 4. Securities Acquired (A) or Disposed of (D)<br>(Instr. 3, 4 and 5) |        |            | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I)<br>(Instr. 4) | 7. Nature of Indirect Beneficial Ownership<br>(Instr. 4) |
|------------------------------------|-----------------------------------------|-------------------------------------------------------|-----------------------------------|----------------------------------------------------------------------|--------|------------|--------------------------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------------------------------|
|                                    |                                         |                                                       | Code                              | V                                                                    | Amount | (A) or (D) | Price                                                                                            |                                                             |                                                          |
| Common Stock                       | 10/12/2009                              |                                                       | S                                 |                                                                      | 500    | D          | \$ 14.15                                                                                         | 7,756,280 <sup>(1)</sup><br><u>(2) (3)</u>                  | D                                                        |
| Common Stock                       | 10/12/2009                              |                                                       | S                                 |                                                                      | 500    | D          | \$ 14.16                                                                                         | 7,755,780 <sup>(1)</sup><br><u>(2) (3)</u>                  | D                                                        |
| Common Stock                       | 10/12/2009                              |                                                       | S                                 |                                                                      | 500    | D          | \$ 14.17                                                                                         | 7,755,280 <sup>(1)</sup><br><u>(2) (3)</u>                  | D                                                        |
| Common Stock                       | 10/12/2009                              |                                                       | S                                 |                                                                      | 500    | D          | \$ 14.1745                                                                                       | 7,754,780 <sup>(1)</sup><br><u>(2) (3)</u>                  | D                                                        |
| Common Stock                       | 10/12/2009                              |                                                       | S                                 |                                                                      | 507    | D          | \$ 14.19                                                                                         | 7,754,273 <sup>(1)</sup><br><u>(2) (3)</u>                  | D                                                        |

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|              |            |   |     |   |           |                                            |   |
|--------------|------------|---|-----|---|-----------|--------------------------------------------|---|
| Common Stock | 10/12/2009 | S | 100 | D | \$ 14.2   | 7,754,173 <sup>(1)</sup><br><u>(2) (3)</u> | D |
| Common Stock | 10/12/2009 | S | 193 | D | \$ 14.21  | 7,753,980 <sup>(1)</sup><br><u>(2) (3)</u> | D |
| Common Stock | 10/12/2009 | S | 85  | D | \$ 14.23  | 7,753,895 <sup>(1)</sup><br><u>(2) (3)</u> | D |
| Common Stock | 10/12/2009 | S | 400 | D | \$ 14.255 | 7,753,495 <sup>(1)</sup><br><u>(2) (3)</u> | D |
| Common Stock | 10/12/2009 | S | 100 | D | \$ 14.26  | 7,753,395 <sup>(1)</sup><br><u>(2) (3)</u> | D |

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

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(9-02)

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and<br>Amount of<br>Underlying<br>Securities<br>(Instr. 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number<br>of<br>Derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Report<br>Transaction<br>(Instr. 6) |
|-----------------------------------------------------|--------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|
|                                                     |                                                                    |                                         |                                                             | Code                                 | V (A) (D)                                                                                                          | Date<br>Exercisable                                            | Expiration<br>Date                                                        | Title                                               | Amount<br>or<br>Number<br>of<br>Shares                                                                                   |

## Reporting Owners

| Reporting Owner Name / Address                                                        | Relationships                    |
|---------------------------------------------------------------------------------------|----------------------------------|
|                                                                                       | Director 10% Owner Officer Other |
| SCHATZ DOUGLAS S & SCHATZ JILL E FAMILY TRUST<br>PO BOX 481<br>FORT COLLINS, CO 80522 | X                                |
| SCHATZ DOUGLAS S<br>P.O. BOX 481<br>FORT COLLINS, CO 80522                            | X                                |
|                                                                                       | X                                |

Schatz Jill E  
P.O. BOX 481  
FORT COLLINS, CO 80522

## Signatures

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

10/14/2009

\_\_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 Rule 10b5-1 trading plan adopted by the reporting persons on May 28, 2009.
- (2) These shares are owned directly by Douglas S. Schatz & Jill E. Schatz Family Trust, a ten percent owner of the issuer, and indirectly by Douglas S. Schatz and Jill E. Schatz, co-trustees of the trust.
- (3) Includes 26,350 shares of restricted stock units held directly by Douglas S. Schatz, who is a director of the Issuer.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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