Edgar Filing: ADVANCED ENERGY INDUSTRIES INC - Form 4

ADVANCED ENERGY INDUSTRIES INC Form 4 February 05, 2014 OMB APPROVAL FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION OMB 3235-0287 Washington, D.C. 20549 Number: Check this box January 31, Expires: if no longer 2005 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF subject to Estimated average **SECURITIES** Section 16. burden hours per Form 4 or response... 0.5 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. 30(h) of the Investment Company Act of 1940 See Instruction 1(b). (Print or Type Responses) 1. Name and Address of Reporting Person * 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading GRADY EDWARD C Issuer Symbol ADVANCED ENERGY (Check all applicable) **INDUSTRIES INC [AEIS]** (Last) (First) (Middle) 3. Date of Earliest Transaction _X__ Director 10% Owner Officer (give title Other (specify (Month/Day/Year) below) below) **1625 SHARP POINT DRIVE** 02/04/2014 (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 Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 2. Transaction Date 2A. Deemed 6. Ownership 7. Nature of 1.Title of 3. 4. Securities Acquired 5. Amount of Execution Date, if Security (Month/Day/Year) Transaction(A) or Disposed of (D) Securities Form: Direct Indirect (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially Beneficial (D) or any (Month/Day/Year) (Instr. 8) Owned Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Reported (A) Transaction(s) or (Instr. 3 and 4) Amount Price Code V (D) \$ Common 1,700 02/04/2014 S D 28.14 $10,800^{(3)}$ D Stock (1)(2)

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

Edgar Filing: ADVANCED ENERGY INDUSTRIES INC - Form 4

Reporting Owners

Reporting Owner Name / Address	Relationships						
1	Director	10% Owner	Officer	Other			
GRADY EDWARD C 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525	Х						
Signatures							
Thomas O. McGimpsey - Attorney-in-Fact	02/05/2014						

<u>**</u>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 were sold in multiple transactions at prices ranging from \$28.00 to \$28.46. The reporting person undertakes to provide to Advanced Energy, any security holder of Advanced Energy, or the staff of the

(2) Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each saparate price within the ranges set forth in this footnote.

Mr. Grady has been granted a total of 51,000 RSUs in six grants: (A) 15,000 RSUs granted on May 7, 2008;(B) 6,000 RSUs granted on May 6, 2009; (C) 6,000 RSUs granted on May 4, 2010. These RSUs vest in 4 equal installments beginning 1 year from grant date. (D)

(3) May 0, 2007, (C) 0,000 RSUs granted on Way 4, 2010. These RSUs vest in 4 equal instantients beginning 1 year noningrant 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. These RSUs (D-F) will vest 100% on the first anniversary of the grant date. As of this filing date,9,500 RSU shares are unvested.

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.