#### Edgar Filing: ADVANCED ENERGY INDUSTRIES INC - Form 4

#### ADVANCED ENERGY INDUSTRIES INC

Form 4 March 18, 2015

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB 3

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Form 5 obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * BALL FREDERICK			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		, ,	3. Date of Earliest Transaction (Month/Day/Year) 03/16/2015	_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(Chec Applicable Line) _X_ Form filed by One Reporting Person		
FORT COLLI	NS, CO 805	25		Form filed by More than One Reporting Person		

(City)	(State)	(Zip) Tabl	e I - Non-D	<b>Derivative</b>	Secur	ities Acq	uired, Disposed o	f, or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactio Code (Instr. 8)	4. Securities Acquired on(A) or Disposed of (D) (Instr. 3, 4 and 5)  (A) or			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	03/16/2015		Code V S	Amount 2,500 (1)	(D)	Price \$ 25.36	(Instr. 3 and 4) 30,000 (2)	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)

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

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transacti Code (Instr. 8)			ate	7. Title Amoun Under	int of lying ities	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene
	Derivative Security				Securities Acquired			(Instr.	3 and 4)		Owne Follo
					(A) or Disposed						Repo Trans
					of (D) (Instr. 3, 4, and 5)						(Instr
					4, and 3)				Amount		
						Date Exercisable	Expiration Date	Title	or Number of		
				Code V	(A) (D)				Shares		

# **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 - 03/18/2015 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) Sales reported in this Form 4 were pursuant to a Rule 10b5-1 plan.
  - Mr. Ball has been granted a total of 59,000 RSUs in seven 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
- (2) 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; all of these (D-G) vest 100% at the first anniversary of the grant date. As of this filing, the RSU shares have vested as to 51,000 shares and Mr. Ball holds 22,000 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