Edgar Filing: ADVANCED ENERGY INDUSTRIES INC - Form 4

ADVANCED ENERGY INDUSTRIES INC

Form 4 May 11, 2015

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

3235-0287

0.5

January 31, Expires: 2005

OMB APPROVAL

Estimated average

burden hours per

response...

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

may continue.

See Instruction

Check this box

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).

(Last)

(City)

(Print or Type Responses)

1. Name and Address of Reporting Person * **ROHRS THOMAS M**

Symbol

(Middle)

(Zip)

5. Relationship of Reporting Person(s) to

(Check all applicable)

Issuer

ADVANCED ENERGY **INDUSTRIES INC [AEIS]**

2. Issuer Name and Ticker or Trading

3. Date of Earliest Transaction

_X__ Director

10% Owner

1625 SHARP POINT DRIVE

(First)

(Street)

(State)

(Month/Day/Year)

Officer (give title below)

Other (specify

05/07/2015

4. If Amendment, Date Original

A

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

Person

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

FORT COLLINS, CO 80525

2. Transaction Date 2A. Deemed 1.Title of Execution Date, if Security (Month/Day/Year) (Instr. 3) any (Month/Day/Year)

3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)

6. Ownership 7. Nature of 5. Amount of Securities Form: Direct Indirect Beneficially Beneficial (D) or Owned Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Reported

(A) or Amount (D) Code Price 8,000

(1)

Transaction(s) (Instr. 3 and 4)

 $26,750^{(2)}$ D 24.96

Common Stock

05/07/2015

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

SEC 1474 (9-02)

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)

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	nd	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	ng	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securitie	S	(Instr. 5)	Bene
	Derivative				Securities			(Instr. 3 a	and 4)		Own
	Security	ecurity Acquired								Follo	
	•				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
								Δ1	mount		
								or			
						Date	Expiration Date	Title Number of			
						Exercisable					
				Code V	(A) (D)				ares		

Reporting Owners

Reporting Owner Name / Address	Relationships						
FB	Director	10% Owner	Officer	Other			
ROHRS THOMAS M 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525	X						

Signatures

Thomas O. McGimpsey - 05/11/2015 Attorney-in-Fact

**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 restricted stock units granted on May 7, 2015 will vest 100% on the first anniversary of the grant date. This is an annual non-employee director grant as outlined in the 2015 proxy.

Mr. Rohrs has been granted a total of 79,000 RSUs in ten grants: (A) 5,000 RSUs granted on May 24, 2006; (B) 16,000 RSUs granted on May 2, 2007; (C) 6,000 RSUs granted on May 7, 2008; (D) 6,000 RSUs granted on May 6, 2009 and (E) 6,000 RSUs granted on May 4, 2010. These RSUs (A-E)vest in vest annually in four equal installments beginning 1 year after grant date. (F) 8,000 RSUs granted on May

(2) 2010. These RSUs (A-E)vest in vest annually in four equal installments beginning 1 year after grant date. (F) 8,000 RSUs granted on May 4, 2011; (G) 8,000 RSUs granted on May 2, 2012; (H) 8,000 RSUs granted on May 1, 2013; (I) 8,000 RSUs granted on May 7, 2014; (J) 8,000 RSUs granted on May 7, 2015. These RSUs (F-J) vested 100% on the first anniversary of the grant date. As of this filing Mr. Rohrs holds 18,750 shares in street name.

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