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ADVANCED ENERGY INDUSTRIES INC

Form 4

February 03, 2016

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

Expires:

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January 31, 2005

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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)

(Print or Type Responses)

1. Name and Address of Reporting Person * MCGIMPSEY THOMAS O

(First)

(Middle)

2. Issuer Name and Ticker or Trading

Symbol

ADVANCED ENERGY

5. Relationship of Reporting Person(s) to

Issuer

INDUSTRIES INC [AEIS]

3. Date of Earliest Transaction

Director _X__ Officer (give title

10% Owner _ Other (specify

(Month/Day/Year)

02/01/2016

below) EVP Gen Counsel & Corp Sec

(Check all applicable)

(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 Form filed by More than One Reporting

Person

FORT COLLINS, CO 80525

1625 SHARP POINT DRIVE

(City)	(State)	(Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned										
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)			sed of 4 and	` '	5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
			Code	V	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)	(Instr. 4)			
Common Stock	02/01/2016		M		4,663 (1)	A	\$ 14.52	20,809	D			
Common Stock	02/01/2016		S		4,663 (1)	D	\$ 27.4649 (2)	16,146	D			
Common Stock	02/01/2016		A	V	7,598 (3)	A	\$ 27.58	23,744	D			
Common Stock	02/01/2016		F		2,408 (4)	D	\$ 27.58	21,336 (5)	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)

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)			6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)		. 8 E S
			Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Options (right to buy)	\$ 14.52	02/01/2016	M		4,663 (1)	02/15/2015	02/15/2021	Common Stock	4,663 (1)	,

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

MCGIMPSEY THOMAS O 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525

EVP Gen Counsel & Corp Sec

Signatures

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

02/03/2016

Date

**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).
- (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 sold in multiple transactions at prices ranging from \$27.33 to \$27.68.

 The reporting person undertakes to provide to Advanced Energy, any security holder of Advanced Energy, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set for the in this footnote.
- (3) These performance awards were reported voluntarily 2/1/2015. The 2015 performance metrics were met under the LTI Plan and the shares were approved for release by the Compensation Committee 2/1/2016

Reporting Owners 2

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- (4) Payment of tax liability by witholding securities incident to vesting of restricted stock.
- (5) Represents 16,146 shares of Restricted Stock units (RSUs) and 5,190 shares of Performance shares. As of the transaction date, the Restricted Stock Units have vested as to 12,347 shares.

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