

CIENA CORP  
Form 3/A  
March 02, 2017

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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## INITIAL STATEMENT OF 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

(Print or Type Responses)

1. Name and Address of Reporting  
Person \*

Â Phipps Jason

(Last)

(First)

(Middle)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

02/27/2017

3. Issuer Name **and** Ticker or Trading Symbol  
CIENA CORP [CIEN]

4. Relationship of Reporting  
Person(s) to Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner

☒ Officer \_\_\_\_ Other

(give title below) (specify below)

SVP, Global Sales a&amp; Marketing

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

03/01/2017

C/O CIENA  
CORPORATION,Â 7035  
RIDGE RD.

(Street)

HANOVER,Â MDÂ 21076

(City)

(State)

(Zip)

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting  
Person

\_\_\_\_ Form filed by More than One  
Reporting Person

### Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security  
(Instr. 4)

2. Amount of Securities  
Beneficially Owned  
(Instr. 4)

3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)

4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)

Common Stock

41,413 <sup>(1)</sup> <sup>(2)</sup>

D

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

SEC 1473 (7-02)

**Persons who respond to the collection of  
information contained in this form are not  
required to respond unless the form displays a  
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### Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security  
(Instr. 4)

2. Date Exercisable and  
Expiration Date  
(Month/Day/Year)

3. Title and Amount of  
Securities Underlying  
Derivative Security  
(Instr. 4)

4. Conversion  
or Exercise  
Price of  
Derivative

5. Ownership  
Form of  
Derivative  
Security:

6. Nature of Indirect  
Beneficial  
Ownership  
(Instr. 5)

# Edgar Filing: CIENA CORP - Form 3/A

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Non-Qualified Stock Option (right to buy)	11/01/2011	11/01/2017	Common Stock	5,400 <sup>(3)</sup>	\$ 46.44	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Phipps Jason C/O CIENA CORPORATION 7035 RIDGE RD. HANOVER,Â MDÂ 21076	Â	Â	Â SVP, Global Sales a& Marketing	Â

## Signatures

/s/ Erik Lichter For: Jason Phipps 03/02/2017

\_\_Signature of Reporting Person Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, *see* Instruction 5(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) This amount was previously reported in the Reporting Person's Original Form 3. As previously reported, includes (i) 7,668 Restricted Stock Units (RSUs) that vest in four equal installments on each of March 20, June 20, September 20, and December 20 of 2017, (ii) 8,078 RSUs that vest in eight equal installments on March 20, June 20, September 20, and December 20 of each year, commencing on March 20, 2017, (iii) 6,270 RSUs that vest in twelve equal installments on March 20, June 20, September 20, and December 20 of each year, commencing on March 20, 2017, and (iv) 8,990 RSUs that vest in sixteen equal installments on March 20, June 20, September 20, and December 20 of each year, commencing on March 20, 2017.

(2) This amendment is being filed to file as an exhibit a power of attorney, which was inadvertently left off of the Reporting Person's Original Form 4.

(3) This amount was previously reported in the Reporting Person's Original Form 3.

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### Remarks:

ExhibitÂ List:

ExhibitÂ 24Â -Â PowerÂ ofÂ Attorney

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.