

WASSERMAN YUVAL

Form 4

February 20, 2018

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN 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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
WASSERMAN YUVAL

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
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
02/15/2018

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
President & CEO

FORT COLLINS, CO 80525

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

(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)	4. Securities Acquired or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	02/15/2018		A	V 7,694 (1)	A \$ 66.66	137,987	D
Common Stock	02/15/2018		F	3,383 (2)	D \$ 66.66	134,604	D
Common Stock	02/15/2018		A	V 5,422 (3)	A \$ 66.66	140,026	D
Common Stock	02/15/2018		F	2,384 (2)	D \$ 66.66	137,642	D
Common Stock	02/15/2018		A	V 21,690 (4)	A \$ 66.66	159,332	D

Edgar Filing: WASSERMAN YUVAL - Form 4

Common Stock 02/15/2018 F 9,538 (2) D \$ 66.66 149,794 (5) D

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. 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)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 3)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
WASSERMAN YUVAL 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525	X President & CEO

Signatures

/s/ Thomas O. McGimpsey
(Attorney-in-Fact) 02/20/2018

__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) These performance stock units were reported voluntarily 2/8/2016. Certain 2016 Revenue performance metrics were met under the LTI Plan and the shares were approved for a 2/15/2018 release by the Board of Directors.
- (2) Payment of tax liability by withholding securities incident to vesting of performance stock units.
- (3) These performance stock units were reported voluntarily 2/6/2017. Certain 2017 Revenue performance metrics were met under the LTI Plan and the shares were approved for a 2/15/2018 release by the Board of Directors.

Edgar Filing: WASSERMAN YUVAL - Form 4

- (4) These performance stock units were reported voluntarily 2/6/2017. Certain 2017 EPS performance metrics were met under the LTI Plan and the shares were approved for a 2/15/2018 release by the Board of Directors.
- (5) Represents 77,977 shares of Restricted Stock Units and 19,501 Performance Stock Units. 52,316 of these total shares are held 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.