

APPLIED OPTOELECTRONICS, INC.  
 Form 4  
 November 18, 2016

**FORM 4**

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

OMB APPROVAL

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**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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
 Murry Stefan J.

2. Issuer Name and Ticker or Trading Symbol  
 APPLIED OPTOELECTRONICS, INC. [AAOI]

5. Relationship of Reporting Person(s) to Issuer  
 (Check all applicable)

(Last) (First) (Middle)  
 C/O APPLIED OPTOELECTRONICS, INC., 13139 JESS PIRTLE BLVD.  
 (Street)

3. Date of Earliest Transaction (Month/Day/Year)  
 11/16/2016

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
 Chief Financial Officer

SUGAR LAND, TX 77478  
 (City) (State) (Zip)

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

**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 (A) 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 Ownership (Instr. 4)			
			Code	V	Amount	(A) or (D)	Price			
Common Stock, \$.001 par value	11/16/2016		M		5,667	A	\$ 6	40,760	D	
Common Stock, \$.001 par value	11/16/2016		F <sup>(1)</sup>		1,377	D	\$ 24.7	39,383	D	
Common Stock,	11/16/2016		M		6,667	A	\$ 6	46,050	D	

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Common Stock, \$0.001 par value	11/16/2016	F <sup>(2)</sup>	1,620	D	\$ 24.7	44,430	D
Common Stock, \$0.001 par value	11/16/2016	M	4,333	A	\$ 6	48,763	D
Common Stock, \$0.001 par value	11/16/2016	F <sup>(3)</sup>	1,053	D	\$ 24.7	47,710	D
Common Stock, \$0.001 par value	11/17/2016	S	11,505	D	\$ 25.7307 <sup>(4)</sup>	36,205	D

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

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**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. Amount or Number of Shares
Incentive Stock Option (Right to Buy)	\$ 6	11/16/2016		M	5,667	<sup>(5)</sup> 08/23/2020	Common Stock, \$0.001 par value	5,667
Incentive Stock	\$ 6	11/16/2016		M	6,667	<sup>(5)</sup> 03/04/2021	Common Stock,	6,667

