

ADVANCED ENERGY INDUSTRIES INC

Form 4

November 14, 2013

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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
WASSERMAN YUVAL

(Last) (First) (Middle)

1625 SHARP POINT DRIVE

(Street)

FORT COLLINS, CO 80525

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
**ADVANCED ENERGY
INDUSTRIES INC [AEIS]**

3. Date of Earliest Transaction
(Month/Day/Year)
11/12/2013

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director ____ 10% Owner
____X____ Officer (give title below) ____ Other (specify below)

President Thin Films Bus. Unit

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

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 Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	11/12/2013		M		4,688	A	\$ 8.95	19,074 ⁽¹⁾	D
Common Stock	11/12/2013		M		3,285	A	\$ 7.69	22,359 ⁽¹⁾	D
Common Stock	11/12/2013		M		6,563	A	\$ 7.95	28,922 ⁽¹⁾	D
Common Stock	11/12/2013		M		3,937	A	\$ 9.51	32,859 ⁽¹⁾	D
Common Stock	11/12/2013		M		18,184	A	\$ 11.02	51,043 ⁽¹⁾	D

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Common Stock	11/12/2013	S	<u>2,596</u> (2)	D	\$ 23.4084 (3)	48,447 (1)	D
Common Stock	11/12/2013	S	<u>36,657</u> (2)	D	\$ 23.4149 (4)	11,790 (1)	D
Common Stock	11/13/2013	M	3,960	A	\$ 11.02	15,750 (1)	D
Common Stock	11/13/2013	M	4,688	A	\$ 13.7	20,438 (1)	D
Common Stock	11/13/2013	M	4,688	A	\$ 14.02	25,126 (1)	D
Common Stock	11/13/2013	M	6,563	A	\$ 11.21	31,689 (1)	D
Common Stock	11/13/2013	M	3,281	A	\$ 12.77	34,970 (1)	D
Common Stock	11/13/2013	M	7,875	A	\$ 13.85	42,845 (1)	D
Common Stock	11/13/2013	M	7,874	A	\$ 12.44	50,719 (1)	D
Common Stock	11/13/2013	M	1,010	A	\$ 15.65	51,729 (1)	D
Common Stock	11/13/2013	S	<u>39,939</u> (2)	D	\$ 23.1991 (5)	11,790 (1)	D
Common Stock	11/14/2013	M	2,928	A	\$ 15.65	14,718 (1)	D
Common Stock	11/14/2013	M	7,875	A	\$ 16.25	22,593 (1)	D
Common Stock	11/14/2013	M	3,937	A	\$ 14.5	26,530 (1)	D
Common Stock	11/14/2013	M	3,937	A	\$ 14.52	30,467 (1)	D
Common Stock	11/14/2013	M	7,874	A	\$ 14.21	38,341 (1)	D
Common Stock	11/14/2013	S	<u>26,551</u> (2)	D	\$ 22.8585 (6)	11,790 (1)	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

SEC 1474
(9-02)

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)

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)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 8.95	11/12/2013		M	4,688 (2)	10/28/2012	10/28/2018	Common Stock	4,688
Employee Stock Option (right to buy)	\$ 7.69	11/12/2013		M	3,285 (2)	02/19/2013	02/19/2019	Common Stock	3,285
Employee Stock Option (right to buy)	\$ 7.95	11/12/2013		M	6,563 (2)	04/24/2013	04/24/2019	Common Stock	6,563
Employee Stock Option (right to buy)	\$ 9.51	11/12/2013		M	3,937 (2)	10/26/2013	10/26/2021	Common Stock	3,937
Employee Stock Option (right to buy)	\$ 11.02	11/12/2013		M	18,184 (2)	02/01/2013	01/03/2022	Common Stock	18,184
Employee Stock Option (right to buy)	\$ 11.02	11/13/2013		M	3,960 (2)	02/01/2013	01/03/2022	Common Stock	3,960
	\$ 13.7	11/13/2013		M		04/22/2012	04/22/2018		1,688

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Employee Stock Option (right to buy)					4,688 <u>(2)</u>			Common Stock	
Employee Stock Option (right to buy)	\$ 14.02	11/13/2013		M	4,688 <u>(2)</u>	07/29/2012	07/29/2018	Common Stock	4,688
Employee Stock Option (right to buy)	\$ 11.21	11/13/2013		M	6,563 <u>(2)</u>	07/21/2013	07/21/2019	Common Stock	6,563
Employee Stock Option (right to buy)	\$ 12.77	11/13/2013		M	3,281 <u>(2)</u>	10/24/2012	10/27/2022	Common Stock	3,281
Employee Stock Option (right to buy)	\$ 13.85	11/13/2013		M	7,875 <u>(2)</u>	07/20/2012	07/20/2020	Common Stock	7,875
Employee Stock Option (right to buy)	\$ 12.44	11/13/2013		M	7,874 <u>(2)</u>	07/22/2013	07/22/2021	Common Stock	7,874
Employee Stock Option (right to buy)	\$ 15.65	11/13/2013		M	1,010 <u>(2)</u>	02/16/2013	02/16/2020	Common Stock	1,010
Employee Stock Option (right to buy)	\$ 15.65	11/14/2013		M	2,928 <u>(2)</u>	02/16/2013	02/16/2020	Common Stock	2,928
Employee Stock Option (right to buy)	\$ 16.25	11/14/2013		M	7,875 <u>(2)</u>	04/20/2013	04/20/2020	Common Stock	7,875
	\$ 14.5	11/14/2013		M		10/26/2013	10/26/2020		3,937

Employee Stock Option (right to buy)					3,937 (2)			Common Stock	
Employee Stock Option (right to buy)	\$ 14.52	11/14/2013	M		3,937 (2)	02/15/2013	02/15/2021	Common Stock	3,937
Employee Stock Option (right to buy)	\$ 14.21	11/14/2013	M		7,874 (2)	04/28/2013	04/28/2021	Common Stock	7,874

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
WASSERMAN YUVAL 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525			President Thin Films Bus. Unit	

Signatures

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

11/14/2013

**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) Includes 11,790 shares of Restricted Stock Units. As of the reporting date the restricted stock units have vested as to 5,036 shares.
- (2) Sales reported in this Form 4 were effective 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 \$23.18 to \$23.71.
- (3) 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 each separate price within the ranges set forth in this footnote.
- The price reported in Column 4 is an average price. These shares were sold in multiple transactions at prices ranging from \$23.19 to \$23.81. 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 each separate price within the ranges set forth in this footnote.
- (4) The price reported in Column 4 is an average price. These shares were sold in multiple transactions at prices ranging from \$23.01 to \$23.49. 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 each separate price within the ranges set forth in this footnote.
- (5) The price reported in Column 4 is an average price. These shares were sold in multiple transactions at prices ranging from \$22.52 to \$23.16. The reporting person undertakes to provide to Advanced Energy, any security holder of Advanced Energy, or the staff of the

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Securities and Exchange Commission, upon request, full information regarding each separate price within the ranges set forth in this footnote.

- (7) The option represents a right to purchase a total of 15,750 shares, became exercisable in four equal annual installments beginning on 10/26/2012, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested as to a total of \$7,874 shares, 3,937 of which remain unexercised
- (8) The option represents a right to purchase a total of 22,144 shares, which became exercisable on 1/3/2013. As of the transaction date, the option has vested as to a total of 22,144 shares, 3,960 of which remain unexercised.
- (9) The option represents a right to purchase a total of 12,195 shares, became exercisable in four equal annual installments beginning on 10/27/2010, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested as to a total of 12,195 shares, 2,352 of which remain unexercised.
- (10) The option represents a right to purchase a total of 11,812 shares, became exercisable in three equal annual installments beginning on 2/16/2011, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested as to a total of 11,812 shares, 2,928 of which remain unexercised.
- (11) The option represents a right to purchase a total of 15,750 shares, became exercisable in four equal annual installments beginning on 10/26/2011, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested as to a total of 11,812 shares, 3,938 of which remain unexercised.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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