

ADVANCED ENERGY INDUSTRIES INC
Form 4
January 16, 2014

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Herron Danny C

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)
01/15/2014

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
Executive VP & CFO

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 (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 | 01/15/2014 | | M | | 6,562 (1) A \$ 14.5 | 32,411 (2) | D |
| Common Stock | 01/15/2014 | | M | | 13,124 (1) A \$ 14.52 | 45,535 (2) | D |
| Common Stock | 01/15/2014 | | S | | 19,686 (1) D \$ 26.1666 (3) | 25,849 (2) | D |
| Common Stock | 01/16/2014 | | M | | 3,000 (1) A \$ 12.44 | 28,849 (2) | D |
| Common Stock | 01/16/2014 | | M | | 13,124 (1) A \$ 14.21 | 41,973 (2) | D |

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Common Stock 01/16/2014 S 16,124₍₁₎ D \$ 27 25,849 (2) D

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

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(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) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title Amount or Number of Shares |
| Stock Options (right to buy) | \$ 14.5 | 01/15/2014 | | M | <u>6,562</u> ₍₁₎ | 10/26/2011 10/26/2020 | Common Stock 6,562 |
| Stock Options (right to buy) | \$ 14.52 | 01/15/2014 | | M | <u>7,220</u> ₍₁₎ | 02/15/2012 02/15/2021 | Common Stock 7,220 |
| Stock Options (right to buy) | \$ 14.52 | 01/15/2014 | | M | <u>5,904</u> ₍₁₎ | 02/15/2012 02/15/2021 | Common Stock 5,904 |
| Stock Options (right to buy) | \$ 12.44 | 01/16/2014 | | M | <u>3,000</u> ₍₁₎ | 07/22/2012 07/22/2022 | Common Stock 3,000 |
| Stock Options (right to buy) | \$ 14.21 | 01/16/2014 | | M | <u>13,124</u> ₍₁₎ | 07/25/2012 07/25/2022 | Common Stock 13,124 |

Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners

Director 10% Owner Officer Other

Herron Danny C
1625 SHARP POINT DRIVE
FORT COLLINS, CO 80525

Executive VP & CFO

Signatures

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

01/16/2014

__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) Sales reported in this Form 4 were effective pursuant to a Rule 10b5-1 plan.

(2) Represents 25,404 shares granted as Restricted Stock units (RSUs) and 445 shares of Employee Stock Purchase Plan shares.

(3) The price reported in Column 4 is an average price. These shares were sold in multiple transactions at prices ranging from \$26.00 to \$26.50, inclusive. 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 forth in this footnote.

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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