

INFINERA CORP
Form 4
February 09, 2016

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
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Fallon Thomas J

(Last) (First) (Middle)

C/O INFINERA
CORPORATION, 140 CASPIAN
COURT

(Street)

SUNNYVALE, CA 94089

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
INFINERA CORP [INFN]

3. Date of Earliest Transaction
(Month/Day/Year)
02/05/2016

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

Chief Executive Officer

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 Beneficial Ownership (Instr. 4)	
			Code	V	Amount	(A) or (D)	Price			
Common Stock	02/05/2016		M		37,666	A	\$ 0	807,122	I	See Footnote (1)
Common Stock	02/05/2016		F		14,341	D	\$ 14.4	792,781	I	See Footnote (1)
Common Stock	02/05/2016		M		84,999	A	\$ 0	877,780	I	See Footnote (1)
Common	02/05/2016		F		39,713	D	\$	838,067	I	See

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Stock					14.4			Footnote (1)
Common Stock	02/05/2016		M	80,164	A	\$ 0	918,231	I See Footnote (1)
Common Stock	02/05/2016		F	41,830	D	\$ 14.4	876,401	I See Footnote (1)
Common Stock	02/05/2016		M	25,960	A	\$ 0	902,361	I See Footnote (1)
Common Stock	02/05/2016		F	13,546	D	\$ 14.4	888,815	I See Footnote (1)

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

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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)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount o Number o Shares
Employee Stock Option (Right to Buy)	\$ 8.19							<u>(2)</u>	11/23/2019	Common Stock	90,056
Employee Stock Option (Right to Buy)	\$ 8.58							<u>(2)</u>	02/10/2021	Common Stock	14,286
Employee Stock Option	\$ 8.58							<u>(2)</u>	02/10/2021	Common Stock	32,965

(Right to
Buy)Employee
Stock

Option \$ 8.58

(Right to
Buy)Employee
Stock

Option \$ 8.58

(Right to
Buy)Restricted
Stock
Units(3)

02/05/2016

M

37,666

(4)(4)Common
Stock

37,666

Restricted
Stock
Units(3)(5)(5)Common
Stock

71,258

Restricted
Stock
Units(3)(6)(6)Common
Stock

55,240

Restricted
Stock
Units(3)

02/05/2016

M

84,999

(7)(7)Common
Stock

84,999

Restricted
Stock
Units(3)

02/05/2016

M

80,164

(8)(8)Common
Stock

80,164

Restricted
Stock
Units(3)

02/05/2016

M

25,960

(9)(9)Common
Stock

25,960

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Fallon Thomas J C/O INFINERA CORPORATION 140 CASPIAN COURT SUNNYVALE, CA 94089	X		Chief Executive Officer	

Signatures

/s/ Michael Post, by Power of
Attorney

02/09/2016

**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 shares are held directly by The Fallon Family Revocable Trust dated 9/7/94, for which Mr. Fallon is a trustee.
- (2) This option is fully-vested.
- (3) Each restricted stock unit ("RSU") represents a contingent right to receive one share of Infinera Corporation common stock.
- (4) These RSUs vest in three annual installments beginning on February 5, 2014.
- (5) These RSUs vest in three annual installments beginning on May 5, 2015.
- (6) These RSUs vest in three annual installments beginning on May 5, 2016.
- (7) This includes 84,999 shares granted pursuant to a performance-based RSU award, which vested and released to Mr. Fallon effective February 5, 2016.
- (8) This includes 80,164 shares granted pursuant to a performance-based RSU award, which vested and released to Mr. Fallon effective February 5, 2016.
- (9) This includes 25,960 shares granted pursuant to a performance-based RSU award, which vested and released to Mr. Fallon effective February 5, 2016.

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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