

ADVANCED ENERGY INDUSTRIES INC
Form SD
May 31, 2017

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

FORM SD

SPECIALIZED DISCLOSURE REPORT

Advanced Energy Industries, Inc.
(Exact name of registrant as specified in its charter)

Delaware 000-26966 84-0846841
(State or other jurisdiction of incorporation) (Commission File Number) (IRS Employer Identification No.)

1625
Sharp
Point
1625
Fort
Collins,
Colorado
(Address
of
principal
executive
offices)
Thomas O.
McGimpsey
(970)
221-4670
(Name and
telephone
number,
including
area code, of
the person to
contact in
connection
with this
report.)

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Check the appropriate box to indicate the rule pursuant to which this form is being filed, and provide the period to which the information in this form applies:

☒ Rule 13p-1 under the Securities Exchange Act (17 CFR 240.13p-1) for the reporting period from January 1 to December 31, 2016.

Section 1 - Conflict Minerals Disclosure

Item 1.01 Conflict Minerals Disclosure and Report

Advanced Energy Industries, Inc. (the “Company”) manufactures or contracts to manufacture products that may contain “conflict minerals” as defined in paragraph (d)(3) Item 1.01. As these materials are necessary to the functionality and production of the Company’s products, the Company has conducted a reasonable country of origin inquiry regarding these materials designed to determine whether any of the conflict minerals originated in the Democratic Republic of the Congo or an adjoining country (as defined by paragraph (d)(1) of Item 1.01).

The Company's reasonable country of origin inquiry and due diligence processes are described in the Conflict Minerals Report for the reporting period January 1, 2016 to December 31, 2016 attached hereto as Exhibit 1.01.

Conflict Minerals Disclosure

A copy of Advanced Energy Industries, Inc.’s Conflict Minerals Report is filed as Exhibit 1.01 hereto and is publicly available at www.advanced-energy.com/en/Conflict_Minerals.

Item 1.02 Exhibits

Advanced Energy Industries, Inc.’s Conflict Minerals Report is filed as Exhibit 1.01 hereto.

Section 2 - Exhibits

Item 2.01 Exhibits

Exhibit	Conflict Minerals Report as required by Items 1.01 and 1.02 of this Form SD for the year ended
1.01	December 31, 2016.

SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

Advanced
Energy
Industries,
Inc.

/s/ Thomas
O.
McGimpsey
Thomas O.
McGimpsey
Executive
Vice
President,
General
Counsel &
Corporate
Secretary

Date: May 31, 2017

EXHIBIT INDEX

Exhibit No.	Description
	Conflict Minerals Report as required by Items 1.01 and 1.02 of this Form SD for the year ended December 31, 2016.
1.01	