

ADVANCED ENERGY INDUSTRIES INC

Form 4

November 17, 2014

FORM 4UNITED 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
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(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)
11/13/2014

____ Director ____ 10% Owner
____X____ 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)
____X____ 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	11/13/2014		M		6,563 (1)	A \$ 14.5	30,668 D
Common Stock	11/13/2014		M		6,563 (1)	A \$ 14.52	37,231 D
Common Stock	11/13/2014		M		6,563 (1)	A \$ 14.21	43,794 D
Common Stock	11/13/2014		M		16,687 (1)	A \$ 12.44	60,481 D
Common Stock	11/13/2014		M		3,624 (1)	A \$ 9.51	64,105 D

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Common Stock	11/13/2014	S	40,000 <u>(1)</u>	D	\$ 20.6484 <u>(2)</u>	24,105 ⁽³⁾	D
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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 Date	Title Amount or Number of Shares
Stock Options (right to buy)	\$ 14.5	11/13/2014		M	6,563 <u>(1)</u>	10/26/2011 10/26/2020	Common Stock 6,563
Stock Options (right to buy)	\$ 14.52	11/13/2014		M	6,563 <u>(1)</u>	02/15/2012 02/15/2021	Common Stock 6,563
Stock Options (right to buy)	\$ 14.21	11/13/2014		M	6,563 <u>(1)</u>	04/28/2012 04/28/2022	Common Stock 6,563
Stock Options (right to buy)	\$ 12.44	11/13/2014		M	16,687 <u>(1)</u>	07/22/2012 07/22/2021	Common Stock 16,687
Stock Options (right to buy)	\$ 9.51	11/13/2014		M	3,624 <u>(1)</u>	10/26/2012 10/26/2022	Common Stock 3,624

Reporting Owners

Reporting Owner Name / Address	Relationships			
	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	11/17/2014
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__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) The price reported in Column 4 is an average price. These shares were sold in multiple transactions at prices ranging from \$20.45 to \$20.87, 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.

(3) Represents 23,660 shares as Restricted Stock units (RSUs) and 445 shares of Employee Stock Purchase Plan shares. As of this reporting date, the restricted stock units have vested as to 37,553 shares.

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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