

GRIFFIN LIAM
Form 4
August 09, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
GRIFFIN LIAM

(Last) (First) (Middle)

VICOR CORPORATION, 25
FRONTAGE RD.

(Street)

ANDOVER, MA 01810

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
VICOR CORP [VICR]

3. Date of Earliest Transaction
(Month/Day/Year)
08/08/2018

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)

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 Ownership (Instr. 4)
				(A) or (D)	Price		
Common Stock	08/08/2018		M	A	1,763 \$ 5.67	D	
Common Stock	08/08/2018		S	D	1,763 \$ 62.8104	D	
Common Stock	08/08/2018		M	A	854 \$ 6.29	D	
Common Stock	08/08/2018		S	D	854 \$ 62.8104	D	
Common Stock	08/08/2018		M	A	639 \$ 6.29	D	

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Common Stock	08/08/2018	S	639	D	\$ 62.8104	0	D
Common Stock	08/08/2018	M	517	A	\$ 19.35	517	D
Common Stock	08/08/2018	S	517	D	\$ 62.8104	0	D
Common Stock	08/08/2018	M	745	A	\$ 13.42	745	D
Common Stock	08/08/2018	S	745	D	\$ 62.8104	0	D
Common Stock	08/08/2018	M	943	A	\$ 10.61	943	D
Common Stock	08/08/2018	S	943	D	\$ 62.8104	0	D
Common Stock	08/08/2018	M	1,242	A	\$ 8.05	1,242	D
Common Stock	08/08/2018	S	1,242	D	\$ 62.8104	0	D

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)	8. Amount or Number of Shares
Non Qualified Stock Option	\$ 5.67	08/08/2018		M	1,763	<u>(1)</u> 06/21/2023	Common Stock	1,763
	\$ 6.29	08/08/2018		M	854	<u>(1)</u> 06/17/2023		854

Option Type	Exercise Price	Grant Date	Exercise Type	Quantity	Notes	Expiration Date	Common Stock	Quantity
Non Qualified Stock Option							Common Stock	
Non Qualified Stock Option	\$ 6.29	08/08/2018	M	639	(1)	06/17/2023	Common Stock	639
Non Qualified Stock Option	\$ 19.35	08/08/2018	M	517	(2)	06/16/2027	Common Stock	517
Non Qualified Stock Option	\$ 13.42	08/08/2018	M	745	(3)	06/19/2025	Common Stock	745
Non Qualified Stock Option	\$ 10.61	08/08/2018	M	943	(4)	06/17/2026	Common Stock	943
Non Qualified Stock Option	\$ 8.05	08/08/2018	M	1,242	(5)	06/20/2024	Common Stock	1,242

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
GRIFFIN LIAM VICOR CORPORATION 25 FRONTAGE RD. ANDOVER, MA 01810	X			

Signatures

/s/Kemble D. Morrison. Attorney in fact for Liam K. Griffin 08/09/2018

**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) This stock option is exercisable in full.
- (2) Granted on 6/16/2017 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.

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- (3) Granted on 6/19/2015 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.
- (4) Granted on 6/17/2016 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.
- (5) Granted on 6/20/2014 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.

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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