

WASSERMAN YUVAL
Form 4
February 20, 2013

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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 *
WASSERMAN YUVAL

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)
02/15/2013

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
President Thin Films Bus. Unit

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) | (A) or (D) | 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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|------------|---|--|---|
| Common Stock | 02/15/2013 | | M | 31,319 | A | \$ 14.05 <u>(1)</u> | 56,836 | D |
| Common Stock | 02/15/2013 | | M | 42,874 | A | \$ 15.06 <u>(2)</u> | 99,710 | D |
| Common Stock | 02/15/2013 | | M | 3,937 | A | \$ 16.25 | 103,647 | D |
| Common Stock | 02/15/2013 | | S | 87,147 <u>(3)</u> | D | \$ 18 | 16,500 | D |
| | 02/15/2013 | | F | 174 <u>(4)</u> | D | | 16,326 | D |

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| | | | | | | | | | |
|--------------|------------|--|---|--------------------|-------|-------|-----------------------|---|--|
| Common Stock | | | | | \$ | | | | |
| | | | | | 17.95 | | | | |
| Common Stock | 02/19/2013 | | F | 319 ⁽⁴⁾ | D | \$ | 16,007 ⁽⁵⁾ | D | |
| | | | | | | 18.36 | | | |

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

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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) | Amount or Number of Shares | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Employee Stock Option (right to buy) | \$ 13.7 | 02/15/2013 | | M | 9,383 | ⁽⁶⁾ 04/22/2018 | Common Stock | 9,383 | |
| Employee Stock Option (right to buy) | \$ 14.02 | 02/15/2013 | | M | 14,062 | ⁽⁷⁾ 07/29/2018 | Common Stock | 14,062 | |
| Employee Stock Option (right to buy) | \$ 14.5 | 02/15/2013 | | M | 3,937 | ⁽⁸⁾ 10/26/2020 | Common Stock | 3,937 | |
| Employee Stock Option (right to buy) | \$ 14.52 | 02/15/2013 | | M | 3,937 | ⁽⁹⁾ 02/15/2021 | Common Stock | 3,937 | |
| Employee Stock Option | \$ 14.93 | 02/15/2013 | | M | 35,000 | ⁽¹⁰⁾ 10/26/2017 | Common Stock | 35,000 | |

(right to
buy)

Employee
Stock

| | | | | | | | | |
|--------|----------|------------|---|-------|-------------|------------|-----------------|-------|
| Option | \$ 15.65 | 02/15/2013 | M | 7,874 | <u>(11)</u> | 02/16/2020 | Common Stock | 7,874 |
|--------|----------|------------|---|-------|-------------|------------|-----------------|-------|

(right to
buy)

Employee
Stock

| | | | | | | | | |
|--------|----------|------------|---|-------|-------------|------------|-----------------|-------|
| Option | \$ 16.25 | 02/15/2013 | M | 3,937 | <u>(12)</u> | 04/20/2020 | Common Stock | 3,937 |
|--------|----------|------------|---|-------|-------------|------------|-----------------|-------|

(right to
buy)

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|--------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| WASSERMAN YUVAL 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525 | | | President Thin Films Bus. Unit | |

Signatures

/s/ Thomas O. McGimpsey
(Attorney-in-Fact) 02/20/2013

__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) The price reported in Column 4 is a weighted average price. These shares were acquired upon exercise of multiple option grants with exercise prices ranging from \$13.70 to \$14.52, inclusive, as reported on Table II. 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 each separate price within the ranges set forth in this footnote.

(2) The price reported in Column 4 is a weighted average price. These shares were acquired upon exercise of multiple option grants with exercise prices ranging from \$14.93 to \$15.65, inclusive, as reported on Table II. 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 each separate price within the ranges set forth in this footnote.

(3) The sales reported were effected pursuant to a 10b5-1 plan adopted by the reporting person on 3/7/2012.

(4) Payment of tax liability by withholding securities incident to vesting of restricted stock.

(5) Represents 16,007 shares of Restricted Stock Units. As of the reporting date 4,472 are vested.

(6) The option represents a right to purchase a total of 12,510 shares, became exercisable in four equal annual installments beginning on 5/22/2009, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 12,510 shares.

(7) The option represents a right to purchase a total of 18,750 shares, became exercisable in four equal annual installments beginning on 7/29/2009, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 18,750 shares.

(8)

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The option represents a right to purchase a total of 15,750 shares, becomes exercisable in four equal annual installments beginning on 10/26/2011, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 7,874 shares.

- (9) The option represents a right to purchase a total of 11,812 shares, becomes exercisable in four equal annual installments beginning on 02/15/2012, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 3,937 shares.

- (10) The option represents a right to purchase a total of 35,000 shares, became exercisable in four equal annual installments beginning on 10/26/2008, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 35,000 shares.

- (11) The option represents a right to purchase a total of 11,812 shares, becomes exercisable in four equal annual installments beginning on 2/16/2011, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 7,874 shares.

- (12) The option represents a right to purchase a total of 13,389 shares, becomes exercisable in four equal annual installments beginning on 4/20/2011, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 7,874 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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