

WASSERMAN YUVAL

Form 4

February 20, 2018

**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  
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response... 0.5

(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)  
02/15/2018

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

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 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)
Common Stock	02/15/2018		Code V	Amount (1)	(A) or (D) Price		
			A V	7,694 (1)	A \$ 66.66	137,987	D
Common Stock	02/15/2018		F	3,383 (2)	D \$ 66.66	134,604	D
Common Stock	02/15/2018		A V	5,422 (3)	A \$ 66.66	140,026	D
Common Stock	02/15/2018		F	2,384 (2)	D \$ 66.66	137,642	D
Common Stock	02/15/2018		A V	21,690 (4)	A \$ 66.66	159,332	D

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Common Stock      02/15/2018      F      9,538 (2)      D      \$ 66.66      149,794 (5)      D

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)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 3)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
WASSERMAN YUVAL 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525	X		President & CEO	

## Signatures

/s/ Thomas O. McGimpsey  
(Attorney-in-Fact)      02/20/2018

\_\_\_\_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) These performance stock units were reported voluntarily 2/8/2016. Certain 2016 Revenue performance metrics were met under the LTI Plan and the shares were approved for a 2/15/2018 release by the Board of Directors.
- (2) Payment of tax liability by withholding securities incident to vesting of performance stock units.
- (3) These performance stock units were reported voluntarily 2/6/2017. Certain 2017 Revenue performance metrics were met under the LTI Plan and the shares were approved for a 2/15/2018 release by the Board of Directors.

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- (4) These performance stock units were reported voluntarily 2/6/2017. Certain 2017 EPS performance metrics were met under the LTI Plan and the shares were approved for a 2/15/2018 release by the Board of Directors.
- (5) Represents 77,977 shares of Restricted Stock Units and 19,501 Performance Stock Units. 52,316 of these total shares are held in street name.

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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