

ADVANCED ENERGY INDUSTRIES INC

Form 4

March 25, 2014

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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
BECK RICHARD P

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)
03/21/2014

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

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)			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	03/21/2013		M		5,000 (1)	A	\$ 14.4	38,232	D
Common Stock	03/21/2014		M		5,000 (1)	A	\$ 10.9	43,232	D
Common Stock	03/21/2013		S		10,000 (1)	D	\$ 27.1032 (2)	33,232	D
Common Stock	03/21/2014		G		2,000 (3)	D	\$ 0	31,232 (4)	D

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

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(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 (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
Stock Options (right to buy)	\$ 14.4	03/24/2014		M	5,000	05/05/2004 05/05/2014	Common Stock	5,000
Stock Options (right to buy)	\$ 10.9	03/24/2014		M	5,000	05/04/2005 05/04/2015	Common Stock	5,000

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
BECK RICHARD P 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525	X

Signatures

Thomas O. McGimpsey -
Attorney-in-Fact 03/24/2014

__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) Shares sold in accordance with 10b5-1 trading plan.

(2)

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The price reported in Column 4 is an average price. These shares were sold in multiple transactions at prices ranging from 26.7025 to 27.39. 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) Shares held in the Richard P Beck Trust u/a dated July 19, 2000. Mr. Beck entered into a 10b5-1 for the purposes of gifting shares to The Polar Bears International. 2,000 shares were gifted to the Polar Bears International on 3/21/2014.

Mr. Beck has been granted a total of 60,000 RSUs in eight grants: (A) 2,000 RSUs granted on May 24, 2006; (B) 16,000 RSUs granted on May 2, 2007; (C) 6,000 RSUs granted on May 7, 2008; (D) 6,000 RSUs granted on May 6, 2009; (E) 6,000 RSUs granted on May 4,

- (4) 2010. These grants vest annually in four equal installments beginning one year from grant date. (F) 8,000 RSUs granted on May 4, 2011; (G) 8,000 RSUs granted on May 2, 2012; (H) 8,000 RSUs granted on May 1, 2013 all (E-H) vested 100% on the first anniversary of the grant date. As of this filing, 50,500 restricted stock units vested. 21,232 of these shares are held in street name.

- (5) As of this filing date, Mr. Beck all available granted options have vested and have been exercised.

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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