

CIENA CORP
Form 3/A
March 02, 2017

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

INITIAL STATEMENT OF 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 *

Â Phipps Jason

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

02/27/2017

3. Issuer Name **and** Ticker or Trading Symbol
CIENA CORP [CIEN]

4. Relationship of Reporting
Person(s) to Issuer

(Check all applicable)

___ Director ___ 10% Owner

☒ Officer ___ Other

(give title below) (specify below)

SVP, Global Sales a& Marketing

5. If Amendment, Date Original
Filed(Month/Day/Year)

03/01/2017

C/O CIENA
CORPORATION,Â 7035
RIDGE RD.

(Street)

HANOVER,Â MDÂ 21076

(City)

(State)

(Zip)

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 Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities
Beneficially Owned
(Instr. 4)

3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)

4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

41,413 ⁽¹⁾ ⁽²⁾

D

Â

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

SEC 1473 (7-02)

**Persons who respond to the collection of
information contained in this form are not
required to respond unless the form displays a
currently valid OMB control number.**

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and
Expiration Date
(Month/Day/Year)

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

4. Conversion
or Exercise
Price of
Derivative

5. Ownership
Form of
Derivative
Security:

6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

Edgar Filing: CIENA CORP - Form 3/A

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Non-Qualified Stock Option (right to buy)	11/01/2011	11/01/2017	Common Stock	5,400 ⁽³⁾	\$ 46.44	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Phipps Jason C/O CIENA CORPORATION 7035 RIDGE RD. HANOVER,Â MDÂ 21076	Â	Â	Â SVP, Global Sales a& Marketing	Â

Signatures

/s/ Erik Lichter For: Jason Phipps 03/02/2017

__Signature of Reporting Person Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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 amount was previously reported in the Reporting Person's Original Form 3. As previously reported, includes (i) 7,668 Restricted Stock Units (RSUs) that vest in four equal installments on each of March 20, June 20, September 20, and December 20 of 2017, (ii) 8,078 RSUs that vest in eight equal installments on March 20, June 20, September 20, and December 20 of each year, commencing on March 20, 2017, (iii) 6,270 RSUs that vest in twelve equal installments on March 20, June 20, September 20, and December 20 of each year, commencing on March 20, 2017, and (iv) 8,990 RSUs that vest in sixteen equal installments on March 20, June 20, September 20, and December 20 of each year, commencing on March 20, 2017.

(2) This amendment is being filed to file as an exhibit a power of attorney, which was inadvertently left off of the Reporting Person's Original Form 4.

(3) This amount was previously reported in the Reporting Person's Original Form 3.

Â

Remarks:

ExhibitÂ List:

ExhibitÂ 24Â -Â PowerÂ ofÂ Attorney

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.