

ADVANCED ENERGY INDUSTRIES INC  
Form 4  
December 01, 2014

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

OMB APPROVAL

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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 \*  
Herron Danny C

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)  
11/26/2014

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
Officer: Executive VP & CFO

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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
|                                 |                                      |  | Code                           | V   | Amount or Price   |  |  |
| Common Stock                    | 11/26/2014                           |  | M                              |   | 6,219<br>(1)  | A  | \$ 9.51 30,324 D                           |
| Common Stock                    | 11/26/2014                           |  | M                              |   | 22,144<br>(1)   | A  | \$ 11.02 52,468 D                          |
| Common Stock                    | 11/26/2014                           |  | M                              |   | 38,669<br>(1)   | A  | \$ 11.02 91,137 D                          |
| Common Stock                    | 11/26/2014                           |  | S                              |   | 67,032<br>(1)   | D  | \$ 21 24,105 D                             |
| Common Stock                    | 11/26/2014                           |  | S                              |   | 14,179<br>(1)   | D  | \$ 21 9,926 (2) D                          |

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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) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
| Stock Options (right to buy)               | \$ 9.51  | 11/26/2014                           |  | M                              | 6,219<br>(1)  | 10/26/2011 10/26/2021                                    | Common Stock  | 6,219                      |
| Stock Options (right to buy)               | \$ 11.02   | 11/26/2014                           |  | M                              | 22,144<br>(1)   | 02/15/2012 02/15/2021                                    | Common Stock  | 22,144                     |
| Stock Options (right to buy)               | \$ 11.02   | 11/26/2014                           |  | M                              | 38,699<br>(1)   | 04/28/2012 04/28/2022                                    | Common Stock  | 38,699                     |

## Reporting Owners

| Reporting Owner Name / Address                                     | Relationships |           |                             |       |
|--|---------------|-----------|-----------------------------|-------|
|  | Director      | 10% Owner | Officer                     | Other |
| Herron Danny C<br>1625 SHARP POINT DRIVE<br>FORT COLLINS, CO 80525 |               |           | Officer: Executive VP & CFO |       |

## Signatures

/s/ Thomas O. McGimpsey -  
Attorney-in-Fact

12/01/2014

\_\_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) Sales reported in this Form 4 were effective pursuant to a Rule 10b5-1 plan.

(2) Represents 9,481 shares as Restricted Stock units (RSUs) and 445 shares of Employee Stock Purchase Plan shares. As of this reporting date, the restricted stock units have vested as to 37,553 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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