

FINISAR CORP
Form 4
January 09, 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

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Swanson Todd

(Last) (First) (Middle)

1389 MOFFETT PARK DRIVE

(Street)

SUNNYVALE, CA 94089-1134

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol

FINISAR CORP [FNSR]

3. Date of Earliest Transaction
(Month/Day/Year)

01/07/2014

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

Exec.VP Sales & Marketing

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 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 Ownership (Instr. 4)
Common Stock	01/07/2014		M	1,408 A \$ 3.36	132,191	D	
Common Stock	01/07/2014		M	1,907 A \$ 3.36	134,098	D	
Common Stock	01/07/2014		S	4,946 (1) D \$ 23.44	130,010 (2)	D	

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

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information contained in this form are not
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SEC 1474
(9-02)

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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. Amount or Number of Shares
Stock Option (Right to Buy)	\$ 3.36	01/07/2014		M	1,408	08/12/2009 12/12/2018	Common Stock	1,408
Stock Option (Right to Buy)	\$ 3.36	01/07/2014		M	1,907	12/12/2008 12/12/2018	Common Stock	1,907

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Swanson Todd
1389 MOFFETT PARK DRIVE
SUNNYVALE, CA 94089-1134

Exec.VP Sales & Marketing

Signatures

Girija Karumanchi as
Attorney-in-fact for

01/09/2014

**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 were sold pursuant to a Rule 10b5-1 Stock Trading Plan adopted by the reporting person on September 11, 2013.

Includes 531 shares purchased under the Issuer's Employee Stock Purchase Plan on December 13, 2013 and such purchase was not required to be reported pursuant to Section 16(a) and also Includes 327 shares received as an Issuer match under the Issuer's 401K Plan on December 27, 2013 and not required to be reported.

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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