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

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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 \*

McFeely Scott

(Last) (First) (Middle) Statement

(Month/Day/Year)

02/27/2017

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

CIENA CORP [CIEN]

4. Relationship of Reporting

(Check all applicable)

Person(s) to Issuer Filed(Month/Day/Year)

03/01/2017

C/O CIENA

CORPORATION, Â 7035

RIDGE RD.

(Street)

Director \_X\_\_ Officer

10% Owner Other

6. Individual or Joint/Group (give title below) (specify below) Filing(Check Applicable Line) SVP, Networking Platforms \_X\_ Form filed by One Reporting

Person

Form filed by More than One Reporting Person

5. If Amendment, Date Original

HANOVER. MDÂ 21076

(City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security

(Instr. 4)

2. Amount of Securities Beneficially Owned

(Instr. 4)

3. Ownership 4. Nature of Indirect Beneficial Ownership

Form: Direct (D) or Indirect (Instr. 5)

(I) (Instr. 5)

Common Stock

47,904 (1) (2)

D

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Reminder: Report on a separate line for each class of securities beneficially

owned directly or indirectly.

SEC 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)

**Expiration Date** (Month/Day/Year)

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

4. 5. Ownership Conversion or Exercise Form of

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

Price of Derivative Derivative Security:

#### Edgar Filing: CIENA CORP - Form 3/A

Date Expiration Title Exercisable Date

Amount or Security Number of Shares Direct (D) or Indirect (I)

(Instr. 5)

**Reporting Owners** 

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

McFeely Scott

C/O CIENA CORPORATION 7035 RIDGE RD. HANOVER, MDÂ 21076

 $\hat{A}$   $\hat{A}$   $\hat{A}$  SVP, Networking Platforms  $\hat{A}$ 

# **Signatures**

/s/ Erik Lichter For: Scott
McFeely

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).

This amount was previously reported in the Reporting Person's Original Form 3. As previously reported, includes (i) 2,520 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) 7,184 RSUs that vest in eight equal installments on March 20, June 20, September 20 of each year, commencing on March 20, 2017, (iii) 8,986 RSUs that vest in eleven equal installments on March 20, June 20, September 20, and December 20 of each year,

- (1) 20, 2017, (III) 6,980 R30s that vest in eleven equal installments on March 20, September 20, and December 20 of each year, commencing on March 20, 2017, (iv) 6,582 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, (v) 10,790 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, and (vi) 6,527 Performance Stock Units (PSUs) that vest in two equal installments on December 20, 2017 and 2018.
- (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, and to correct an error on the Reporting Person's original Form 3. The Reporting Person is an officer, not a director, of the Issuer.

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#### **Remarks:**

Exhibit List:

### Exhibit 24 - Power of 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.

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