

MCGIMPSEY THOMAS O  
Form 4  
February 20, 2018

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

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 \*  
MCGIMPSEY THOMAS O

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)

3. Date of Earliest Transaction (Month/Day/Year)  
02/15/2018

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
EVP Gen Counsel & Corp Sec

1625 SHARP POINT DRIVE

(Street)

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

FORT COLLINS, CO 80525

(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	02/15/2018		A	V 2,308 (1) A \$ 66.66	49,581	D	
Common Stock	02/15/2018		F	1,015 (2) D \$ 66.66	48,566	D	
Common Stock	02/15/2018		A	V 1,355 (3) A \$ 66.66	49,921	D	
Common Stock	02/15/2018		F	595 (2) D \$ 66.66	49,326	D	
Common Stock	02/15/2018		A	V 5,423 (4) A \$ 66.66	54,749	D	

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Common Stock 02/15/2018 F 2,383 (2) D \$ 66.66 52,366 (5) D

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

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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. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 3)
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## Reporting Owners

**Reporting Owner Name / Address**

**Relationships**

Director 10% Owner Officer Other

MCGIMPSEY THOMAS O  
1625 SHARP POINT DRIVE  
FORT COLLINS, CO 80525

EVP Gen Counsel & Corp Sec

## Signatures

/s/ Thomas O.  
McGimpsey

02/20/2018

\_\_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) These performance stock units were reported voluntarily 2/8/2016. Certain 2016 Revenue performance metrics were met under the LTI Plan and the shares were approved for a 2/15/2018 release by the Board of Directors.
- (2) Payment of tax liability by withholding securities incident to vesting of performance stock units.
- (3)

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These performance stock units were reported voluntarily 2/6/2017. Certain 2017 Revenue performance metrics were met under the LTI Plan and the shares were approved for a 2/15/2018 release by the Board of Directors.

- (4) These performance stock units were reported voluntarily 2/6/2017. Certain 2017 EPS performance metrics were met under the LTI Plan and the shares were approved for a 2/15/2018 release by the Board of Directors.
- (5) Represents 23,014 shares of Restricted Stock units and 11,259 shares of Performance Stock Units and 18,093 shares of common stock.

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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