

SCHATZ DOUGLAS S

Form 4

January 08, 2009

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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
SCHATZ DOUGLAS S & SCHATZ
JILL E FAMILY TRUST

(Last) (First) (Middle)

P.O. BOX 481

(Street)

FORT COLLINS, CO 80522

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
ADVANCED ENERGY
INDUSTRIES INC [AEIS]

3. Date of Earliest Transaction
(Month/Day/Year)
01/06/2009

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
____ Form filed by One Reporting Person
X 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) |
|---------------------------------------|---|---|---|---|--|--|---|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock | 01/06/2009 | | S | | 300 | D | \$ 8,715,335 ⁽¹⁾ 10.33 ₍₂₎ |
| Common Stock | 01/06/2009 | | S | | 100 | D | \$ 8,715,235 ⁽¹⁾ 10.34 ₍₂₎ |
| Common Stock | 01/06/2009 | | S | | 400 | D | \$ 8,714,835 ⁽¹⁾ 10.35 ₍₂₎ |
| Common Stock | 01/06/2009 | | S | | 1,400 | D | \$ 8,713,435 ⁽¹⁾ 10.37 ₍₂₎ |
| Common Stock | 01/06/2009 | | S | | 600 | D | \$ 8,712,835 ⁽¹⁾ 10.38 ₍₂₎ |

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| | | | | | | | |
|-----------------|------------|---|-----|---|---------|--|---|
| Common Stock | 01/06/2009 | S | 100 | D | \$ 10.4 | 8,712,735 ⁽¹⁾ <u>(2)</u> | D |
| Common Stock | | | | | | 26,350 ⁽³⁾ | D |

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

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.

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) | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr |
|---|--|---|---|--------------------------------------|--|--|---|---|--|
| | | | | | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| | | | | | | Code | V | (A) | (D) |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

SCHATZ DOUGLAS S & SCHATZ JILL E FAMILY TRUST
P.O. BOX 481
FORT COLLINS, CO 80522

X

SCHATZ DOUGLAS S
P.O. BOX 481
FORT COLLINS, CO 80522

X

X

Schatz Jill E
P.O. BOX 481
FORT COLLINS, CO 80522

X

Signatures

/s/ John D. Pirnot as
Attorney-in-Fact

01/08/2009

**Signature of Reporting Person

Date

/s/ John D. Pirnot as
Attorney-in-Fact

01/08/2009

__Signature of Reporting Person

Date

/s/ John D. Pirnot as
Attorney-in-Fact

01/08/2009

__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) The sales reported in this Form 4 were effected pursuant to Rule 10b5-1 trading plan adopted by the reporting persons on November 26, 2008.
- (2) These shares are owned directly by Douglas S. Schatz & Jill E. Schatz Family Trust, a ten percent owner of the issuer, and indirectly by Douglas S. Schatz and Jill E. Schatz, co-trustees of the trust.
- (3) Represents shares of restricted stock units held directly by Douglas S. Schatz, who is a director of the Issuer.

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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