

SCHATZ DOUGLAS S

Form 4

October 07, 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

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)  
PO BOX 481

3. Date of Earliest Transaction  
(Month/Day/Year)  
10/05/2009

\_\_\_\_ Director \_\_\_\_X\_\_\_\_ 10% Owner  
\_\_\_\_ Officer (give title below) \_\_\_\_ Other (specify below)

(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  
\_X\_ Form filed by More than One Reporting  
Person

FORT COLLINS, CO 80522

(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	10/05/2009		S		12,700	D	\$ 13	7,848,181 <sup>(1)</sup> <u>(2)</u> <u>(3)</u>	D
Common Stock	10/05/2009		S		300	D	\$ 13.001	7,847,881 <sup>(1)</sup> <u>(2)</u> <u>(3)</u>	D
Common Stock	10/05/2009		S		100	D	\$ 13,002	7,847,781 <sup>(1)</sup> <u>(2)</u> <u>(3)</u>	D
Common Stock	10/05/2009		S		601	D	\$ 13.01	7,847,180 <sup>(1)</sup> <u>(2)</u> <u>(3)</u>	D
Common Stock	10/05/2009		S		17	D	\$ 13.0183	7,847,163 <sup>(1)</sup> <u>(2)</u> <u>(3)</u>	D

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Common Stock	10/05/2009	S	1,400	D	\$ 13.02	7,845,763 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	555	D	\$ 13.03	7,845,208 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	400	D	\$ 13.04	7,844,808 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	200	D	\$ 13.05	7,844,608 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	2,000	D	\$ 13.054	7,842,608 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	1,000	D	\$ 13.16	7,841,608 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	4,100	D	\$ 13.18	7,837,508 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	300	D	\$ 13.2	7,837,208 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	200	D	\$ 13.21	7,837,008 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	500	D	\$ 13.2165	7,836,508 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	8,303	D	\$ 13.22	7,828,205 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	300	D	\$ 13.23	7,827,905 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	200	D	\$ 13.24	7,827,705 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	271	D	\$ 13.26	7,827,434 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	326	D	\$ 13.27	7,827,108 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	200	D	\$ 13.28	7,826,908 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	500	D	\$ 13.29	7,826,408 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	2,500	D	\$ 13.294	7,823,908 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	300	D	\$ 13.33	7,823,608 <sup>(1)</sup> <u>(2) (3)</u>	D
Common Stock	10/05/2009	S	1,000	D	\$ 13.34	7,822,608 <sup>(1)</sup> <u>(2) (3)</u>	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)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Report Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

## Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
SCHATZ DOUGLAS S & SCHATZ JILL E FAMILY TRUST PO BOX 481 FORT COLLINS, CO 80522	X
SCHATZ DOUGLAS S P.O. BOX 481 FORT COLLINS, CO 80522	X
Schatz Jill E P.O. BOX 481 FORT COLLINS, CO 80522	X

## Signatures

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

10/07/2009

\*\*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 May 28, 2009.

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- (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) Includes 26,350 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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