

ADVANCED ENERGY INDUSTRIES INC

Form 4

December 01, 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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Herron Danny C

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)
1625 SHARP POINT DRIVE
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
11/26/2014

____ Director ____ 10% Owner
____X____ Officer (give title below) ____ Other (specify below)
Officer: Executive VP & CFO

FORT COLLINS, CO 80525

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
____X____ Form filed by One Reporting Person
____ Form filed by More than One Reporting
Person

(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)
Common Stock	11/26/2014		M	(A) or (D) Amount 6,219 (1) Price \$ 9.51	30,324	D	
Common Stock	11/26/2014		M	(A) or (D) Amount 22,144 (1) Price \$ 11.02	52,468	D	
Common Stock	11/26/2014		M	(A) or (D) Amount 38,669 (1) Price \$ 11.02	91,137	D	
Common Stock	11/26/2014		S	(A) or (D) Amount 67,032 (1) Price \$ 21	24,105	D	
Common Stock	11/26/2014		S	(A) or (D) Amount 14,179 (1) Price \$ 21	9,926 (2)	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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(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)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Options (right to buy)	\$ 9.51	11/26/2014		M			6,219 <u>(1)</u>	10/26/2011	10/26/2021	Common Stock	6,219
Stock Options (right to buy)	\$ 11.02	11/26/2014		M			22,144 <u>(1)</u>	02/15/2012	02/15/2021	Common Stock	22,144
Stock Options (right to buy)	\$ 11.02	11/26/2014		M			38,699 <u>(1)</u>	04/28/2012	04/28/2022	Common Stock	38,699

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Herron Danny C 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525			Officer: Executive VP & CFO	

Signatures

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

12/01/2014

__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) Sales reported in this Form 4 were effective pursuant to a Rule 10b5-1 plan.
- (2) Represents 9,481 shares as Restricted Stock units (RSUs) and 445 shares of Employee Stock Purchase Plan shares. As of this reporting date, the restricted stock units have vested as to 37,553 shares.

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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