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Edgar Filing: ADVANCED ENERGY INDUSTRIES INC - Form 3/A

ADVANCED ENERGY INDUSTRIES INC Form 3/A February 03, 2015 UNITED STATES SECURITIES AND EXCHANGE COMMISSION FORM 3 Washington, D.C. 20549

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 <u>*</u> Trupkiewicz William George			Statement		3. Issuer Name and Ticker or Trading Symbol ADVANCED ENERGY INDUSTRIES INC [AEIS]					
(Last) (F 1625 SHARP P	First) (Middle)	(Month/Day/Year) 02/03/2015	Person(s) to I	4. Relationship of Reporting Person(s) to Issuer(Check all applicable)			 5. If Amendment, Date Original Filed(Month/Day/Year) 12/03/2014 6. Individual or Joint/Group 		
FORT COLLIN	IS, COÂ	80525		X Officer (give title below	Director 10% Owner X_Officer Other (give title below) (specify below) Chief Accounting Officer		Filing(Check Applicable Line) _X_Form filed by One Reporting Person Form filed by More than One Reporting Person			
(City) (S	tate)	(Zip)	Table I	- Non-Derivat	ive Securiti	es Be	neficially (Owned		
1.Title of Security (Instr. 4)				nt of Securities Illy Owned	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Na Owne (Instr	•	t Beneficial		
Reminder: Report o owned directly or in	-	line for ea	ch class of securities bene	eficially S	EC 1473 (7-02	2)				
	informat required	ion conta to respo	oond to the collection ined in this form are in nd unless the form dia //B control number.	not						
Table	e II - Deriva	ative Secur	ities Beneficially Owned	d (e.g., puts, calls,	warrants, op	tions, c	convertible se	curities)		
1. Title of Derivativ (Instr. 4)	ve Security	2. Date E Expiratio (Month/Day/	on Date Se	Title and Amount ecurities Underlyir erivative Security			5. Ownership Form of	 6. Nature of Indirect Beneficial Ownership 		

(Instr. 4)

Title

Expiration

Date

Date

Exercisable

Price of

Security

Amount or

Number of

Shares

Derivative

Derivative

Security:

Direct (D)

or Indirect

(Instr. 5)

(I)

(Instr. 5)

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Employee Stock Option (right to buy)		04/01/2024	Common Stock	8,210 <u>(1)</u>	\$ 0	D	Â
Performance Stock Units (right to buy)	(2)	04/01/2024	Common Stock	9,578 <u>(1)</u> (3)	\$ 0	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Trupkiewicz William George 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525	Â	Â	Chief Accounting Officer	Â		
Signatures						

/s/Thomas O. McGimpsey	02/03/2015		
<u>**</u> 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).
- (1) If the performance metrics for the reporting year have not been met as determined by the Compensation Committee, the unvested options and units for the 2014 performance period will expire immediately.
- (2) This entry provides for voluntary reporting of performance stock units. Vesting of the performance units in respect of the 2014 performance period will be determined by the Compensation Committee.
- (3) This entry was moved from Table 1 reported in the 12/3/14 Form 3 to Table 2 in this Form 3A as the performance metrics had not yet been determined and, therefore, had not been issued or released.

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.