

COHERENT INC
Form 4
November 12, 2013

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
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 *
SPINELLI LUIS

(Last) (First) (Middle)

P. O. BOX 54980

(Street)

SANTA CLARA, CA 95056-0980

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
COHERENT INC [COHR]

3. Date of Earliest Transaction (Month/Day/Year)
04/30/2013

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
Exec VP, CTO

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
____ 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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	04/30/2013		J	V	411 ⁽¹⁾	A	\$ 35.8105
Common Stock	10/31/2013		J	V	140 ⁽¹⁾	A	\$ 46.6225
Common Stock	11/08/2013		M		2,345	A	\$ 0 7,886
Common Stock	11/08/2013		F		882 ⁽²⁾	D	\$ 65.47 7,004
Common Stock	11/08/2013		M		2,900	A	\$ 23.16 9,904

Edgar Filing: COHERENT INC - Form 4

Common Stock	11/08/2013	S	2,900	D	\$ <u>(3)</u> 65.4334	7,004	D
Common Stock	11/08/2013	M	4,000	A	\$ 26.16	11,004	D
Common Stock	11/08/2013	S	4,000	D	\$ <u>(4)</u> 65.1931	7,004	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 Security (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Restricted Stock Units	\$ 0	11/08/2013		A	3,428	<u>(5)</u>	11/08/2016	Common Stock	3,428
Performance Restricted Stock Units	\$ 0	11/08/2013		A	1,714	<u>(6)</u>	11/08/2016	Common Stock	1,714
Restricted Stock Units	\$ 0	11/08/2013		M	2,345	11/08/2013	11/08/2013	Common Stock	2,345
Non Qualified Stock Option (right to buy)	\$ 23.16	11/08/2013		M	2,900	<u>(7)</u>	11/17/2014	Common Stock	2,900
Non Qualified Stock Option (right to buy)	\$ 26.16	11/08/2013		M	4,000	<u>(7)</u>	11/20/2016	Common Stock	4,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SPINELLI LUIS P. O. BOX 54980 SANTA CLARA, CA 95056-0980			Exec VP, CTO	

Signatures

Luis Spinelli 11/12/2013

__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) Purchase under employee stock purchase plan.
- (2) Represents shares withheld to satisfy minimum tax withholding obligations for released restricted stock units.
- (3) Represents the weighted average sales price for the shares. The range of prices for such sales was \$65.05 to \$65.91 The reporting person will provide upon request full information regarding the number of shares sold at each separate price.
- (4) Represents the weighted average sales price for the shares. The range of prices for such sales was \$64.97 to \$65.38 The reporting person will provide upon request full information regarding the number of shares sold at each separate price.
- (5) This Restricted Stock Unit award vests over three years with one third of the grant vesting on each of the subsequent anniversaries of the grant.

This Performance Restricted Stock Unit award vests after the three year anniversary of the grant based on the relative performance of the underlying stock versus the Russell 2000 Index for the 90 trading days on and prior to November 8, 2016 versus the same 90 trading day period ending November 8, 2013. The number of shares in the table reflects the number of RSUs at target. The actual range of RSUs is 0-200% of the target number, depending upon what achievement, if any, results at the measurement date.
- (7) The shares subject to the option are fully vested and exercisable.

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.