

INFINERA CORP
Form 4
January 02, 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 *
MCCARTHY MICHAEL O III

(Last) (First) (Middle)

C/O INFINERA CORPORATION, 140 CASPIAN COURT

(Street)

SUNNYVALE, CA 94089

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
INFINERA CORP [INFN]

3. Date of Earliest Transaction (Month/Day/Year)
12/31/2012

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)
Chief Legal & Admin Officer

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 Ownership (Instr. 4)
			Code	V	Amount (A) or Price (D)		
Common Stock	12/31/2012		A		28,125 (9)	A	\$ 0 73,401 D
Common Stock	12/31/2012		F		8,987	D	\$ 5.81 64,414 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)

Edgar Filing: INFINERA CORP - Form 4

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 or Value of Underlying Securities (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (Right to Buy)	\$ 1.32					<u>(1)</u>	11/28/2015	Common Stock	7,996
Employee Stock Option (Right to Buy)	\$ 2					<u>(1)</u>	08/08/2016	Common Stock	8,703
Employee Stock Option (Right to Buy)	\$ 2					<u>(1)</u>	08/08/2016	Common Stock	11,805
Employee Stock Option (Right to Buy)	\$ 7.11					<u>(1)</u>	02/10/2019	Common Stock	45,309
Employee Stock Option (Right to Buy)	\$ 7.45					<u>(1)</u>	08/10/2019	Common Stock	51,040
Employee Stock Option (Right to Buy)	\$ 8.19					<u>(1)</u>	11/23/2016	Common Stock	56,250
Employee Stock	\$ 7.61					<u>(2)</u>	06/06/2017	Common Stock	25,642

Edgar Filing: INFINERA CORP - Form 4

Option (Right to Buy)						
Employee Stock Option (Right to Buy)	\$ 7.61		<u>(2)</u>	06/06/2017	Common Stock	29,355
Employee Stock Option (Right to Buy)	\$ 7.61		<u>(3)</u>	02/28/2018	Common Stock	2,886
Employee Stock Option (Right to Buy)	\$ 7.61		<u>(3)</u>	02/28/2018	Common Stock	59,780
Employee Stock Option (Right to Buy)	\$ 8.58		<u>(4)</u>	02/10/2021	Common Stock	38,577
Employee Stock Option (Right to Buy)	\$ 8.58		<u>(4)</u>	02/10/2021	Common Stock	26,423
Restricted Stock Units	<u>(5)</u>		<u>(6)</u>	<u>(6)</u>	Common Stock	22,000
Restricted Stock Units	<u>(5)</u>		<u>(7)</u>	<u>(7)</u>	Common Stock	64,000
Restricted Stock Units	<u>(5)</u>		<u>(8)</u>	<u>(8)</u>	Common Stock	47,500
Employee Stock Option (Right to Buy)	\$ 8.58		<u>(1)</u>	02/10/2021	Common Stock	16,250
Employee Stock Option (Right to	\$ 8.58		<u>(1)</u>	02/10/2021	Common Stock	48,750

Buy)

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
MCCARTHY MICHAEL O III C/O INFINERA CORPORATION 140 CASPIAN COURT SUNNYVALE, CA 94089			Chief Legal & Admin Officer	

Signatures

/s/ Michael O.
McCarthy III

01/02/2013

**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) The option is fully vested.
- (2) The option vests and becomes exercisable in thirty-six monthly installments beginning on February 5, 2010.
- (3) The option vests and becomes exercisable in forty-eight monthly installments beginning on February 5, 2010.
- (4) The option vests and becomes exercisable in thirty-six monthly installments beginning on February 10, 2011.
- (5) Each restricted stock unit ("RSU") represents a contingent right to receive one share of INFN common stock.
- (6) The RSUs vest in three annual installments beginning on February 5, 2012.
- (7) The RSUs vest in three annual installments beginning on February 5, 2013.
- (8) The RSUs vest as to 100% on December 31, 2014.
- (9) This includes performance-based RSUs granted in 2009 in which the award criteria was satisfied in 2012.

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.