

INFINERA CORP  
Form 4  
May 07, 2013

**FORM 4**

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

OMB APPROVAL

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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)  
05/06/2013

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)  
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 (D)	Price
Common Stock	05/06/2013		M		7,996	A	\$ 1.32
Common Stock	05/06/2013		M		11,805	A	\$ 2
Common Stock	05/06/2013		S		24,687	D	\$ 8.68

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474 (9-02)

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**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
Employee Stock Option (Right to Buy)	\$ 1.32	05/06/2013		M	7,996	<u>(1)</u> 11/28/2015	Common Stock 7,996
Employee Stock Option (Right to Buy)	\$ 2	05/06/2013		M	11,805	<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 Option (Right to Buy)	\$ 7.61					<u>(1)</u> 06/06/2017	Common Stock 25,642

Employee Stock Option (Right to Buy)	\$ 7.61	<u>(1)</u>	06/06/2017	Common Stock	29,355
Employee Stock Option (Right to Buy)	\$ 7.61	<u>(1)</u>	02/28/2018	Common Stock	2,236
Employee Stock Option (Right to Buy)	\$ 7.61	<u>(1)</u>	02/28/2018	Common Stock	46,345
Employee Stock Option (Right to Buy)	\$ 8.58	<u>(1)</u>	02/10/2021	Common Stock	16,250
Employee Stock Option (Right to Buy)	\$ 8.58	<u>(1)</u>	02/10/2021	Common Stock	48,750
Employee Stock Option (Right to Buy)	\$ 8.58	<u>(1)</u>	02/10/2021	Common Stock	27,195
Employee Stock Option (Right to Buy)	\$ 8.58	<u>(1)</u>	02/10/2021	Common Stock	19,749

## 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/ Donica Forensich, by Power of  
Attorney

05/07/2013

\_\_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.

This price represents the weighted average sale price of the shares sold ranging from \$8.68 to \$8.75 per share. Upon request by the

- (2) Commission staff, the Issuer or a security holder of the Issuer, the Reporting Person will provide full information regarding the number of shares sold at each separate price.

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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