

SIMMS JAMES A
Form 4
April 30, 2018

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 *
SIMMS JAMES A

2. Issuer Name and Ticker or Trading Symbol
VICOR CORP [vicr]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
25 FRONTAGE ROAD

(Street)

3. Date of Earliest Transaction (Month/Day/Year)
04/26/2018

Director 10% Owner
 Officer (give title below) Other (specify below)
CFO and Secretary

ANDOVER, MA 01810

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 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)
			Code	V	Amount or Price		
Common Stock	04/26/2018		M		20,257 A \$ 11.42	65,962 ⁽¹⁾	D
Common Stock	04/26/2018		S		20,257 D \$ 36.7189	45,705 ⁽¹⁾	D
Common Stock	04/26/2018		M		3,728 A \$ 8.05	49,433 ⁽¹⁾	D
Common Stock	04/26/2018		S		3,728 D \$ 36.7189	45,705 ⁽¹⁾	D
Common Stock	04/26/2018		M		5,000 A \$ 5.35	50,705 ⁽¹⁾	D

Edgar Filing: SIMMS JAMES A - Form 4

Common Stock 04/26/2018 S 5,000 D \$ 36.7189 45,705 ⁽¹⁾ 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 Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Non Qualified Stock Option	\$ 11.42	04/26/2018		M	20,257	⁽²⁾ 10/23/2024	Common Stock 20,257
Non Qualified Stock Option	\$ 8.05	04/26/2018		M	3,728	⁽³⁾ 06/20/2024	Common Stock 3,728
Non Qualified Stock Option	\$ 5.35	04/26/2018		M	5,000	⁽⁴⁾ 05/14/2023	Common Stock 5,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SIMMS JAMES A 25 FRONTAGE ROAD ANDOVER, MA 01810	X		CFO and Secretary	

Signatures

/s/Richard J. Nagel Jr. Attorney in Fact for James A.
Simms

04/30/2018

__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) Includes 705 shares acquired under the Vicor Corporation 2017 Employee Stock Purchase Plan on February 28, 2018.
- (2) Granted on 10/23/2014 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.
- (3) Granted on 6/20/2014 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.
- (4) Granted on 5/14/2013 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.

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.