APPLIED OPTOELECTRONICS, INC.

Form 4

January 17, 2017

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

OMB 3235-0287 Number:

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

January 31, Expires: 2005 Estimated average

OMB APPROVAL

Form 4 or Form 5 obligations may continue.

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

burden hours per response... 0.5

See Instruction 1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Yeh Shu-Hua (Joshua) Issuer Symbol

APPLIED OPTOELECTRONICS. (Check all applicable) INC. [AAOI]

(Last) (First) (Middle) 3. Date of Earliest Transaction

Director 10% Owner X_ Officer (give title Other (specify below)

*** See Remarks

(Month/Day/Year) C/O APPLIED 01/12/2017

OPTOELECTRONICS, INC., 13139 JESS PIRTLE BLVD.

(Street)

4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year) Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

SUGAR LAND, TX 77478

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of 6. Ownership 7. Nature of Form: Direct Indirect Security (Month/Day/Year) Execution Date, if Transaction(A) or Disposed of Securities (Instr. 3) Code (D) Beneficially (D) or Beneficial (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Reported (A) Transaction(s) (Instr. 3 and 4) Price Code V Amount (D) Common Stock, 01/12/2017 7,667 \$0 D A A 83,409 \$.001 par value Common Stock. 01/12/2017 Α 6,000 Α \$0 89,409 D \$.001 par value Common 01/12/2017 4,333 Α \$0 93,742 D Stock,

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\$.001 par value Common

Stock, \$.001 par

value

01/12/2017

A

13,000 A \$ 0 106,742

D

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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)	2 3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of iorDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amour Underlying Securit (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amo or Num of Sh
Non-Qualified Stock Option (Right to buy)	\$ 6	01/12/2017		M		7,667	<u>(1)</u>	08/23/2020	Common Stock, \$0.001 par value	7,6
Non-Qualified Stock Option (Right to buy)	\$ 6	01/12/2017		M		6,000	<u>(1)</u>	03/04/2021	Common Stock, \$0.001 par value	6,0
Non-Qualified Stock Option (Right to buy)	\$ 6	01/12/2017		M		4,333	<u>(1)</u>	05/22/2022	Common Stock, \$0.001 par value	4,3
Non-Qualified Stock Option (Right to buy)	\$ 6	01/12/2017		M	1	13,000	<u>(2)</u>	01/18/2023	Common Stock, \$0.001 par value	13,0

Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners 2

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Director 10% Owner Officer Other

Yeh Shu-Hua (Joshua) C/O APPLIED OPTOELECTRONICS, INC. 13139 JESS PIRTLE BLVD. SUGAR LAND, TX 77478

*** See Remarks

Signatures

/s/ David C. Kuo, attorney in fact for Shu-Hua (Joshua) Yeh

01/17/2017

**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) Option fully vested.
- (2) The stock option grant vested as to 1/4th of the total number of shares on January 18, 2013 and thereafter vested and shall continue to vest as to 1/6th of the remainder of the shares in equal semiannual installments until all shares have vested.

Remarks:

*** Asia General Manager and Senior Vice President of Network Equipment Module Business Unit

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.

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