Chang Hung-Lun (Fred) Form 4 August 08, 2017

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

**OMB APPROVAL** 

3235-0287

Expires:

January 31, 2005

0.5

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subject to Section 16. Form 4 or Form 5 obligations may continue.

Check this box

if no longer

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

1(b).

(Last)

(Print or Type Responses)

See Instruction

1. Name and Address of Reporting Person \*

Chang Hung-Lun (Fred)

2. Issuer Name and Ticker or Trading

Symbol

APPLIED OPTOELECTRONICS.

INC. [AAOI]

3. Date of Earliest Transaction

(Month/Day/Year) 08/07/2017

Director 10% Owner X\_ Officer (give title Other (specify below)

5. Relationship of Reporting Person(s) to

(Check all applicable)

\*\*\* See Remarks

C/O APPLIED OPTOELECTRONICS, INC., 13139

(First)

(Middle)

JESS PIRTLE BLVD.

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Issuer

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 Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year) 3. 4. Securities Acquired 5. Amount of Transaction(A) or Disposed of Code (D) (Instr. 8) (Instr. 3, 4 and 5)

6. Ownership 7. Nature of Form: Direct Indirect Securities Beneficially (D) or Beneficial Owned Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Reported

(A) Transaction(s) (Instr. 3 and 4) (D) Price Code V Amount

Common

value

Stock, 08/07/2017 \$.001 par

1,023 F (1)

D

46,323

D

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

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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	2.	3. Transaction Date	3A. Deemed	4.	5. 6. Date Exercisable and		7. Title and		8. Price of	9	
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionNumber		Expiration Date A		Amour	nt of	Derivative	J
Security	or Exercise		any	Code	of	(Month/Day/Year)		Underlying		Security	5
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	2		Securit	ies	(Instr. 5)	]
	Derivative		Securities			(Instr.		(			
	Security				Acquired (A) or						J
											J
		Disposed								-	
					of (D) (Instr. 3,						(
					4, and 5)						
									Amount		
									or		
						Date Expiration			Number		
						Exercisable Date	Date		of		
				Code V	(A) (D)				Shares		

10% Owner

### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director

Chang Hung-Lun (Fred) C/O APPLIED OPTOELECTRONICS, INC. 13139 JESS PIRTLE BLVD. SUGAR LAND, TX 77478

\*\*\* See Remarks

Other

Officer

9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

## **Signatures**

/s/ David C. Kuo, attorney in fact for Hung-Lun (Fred)
Chang
08/08/2017

\*\*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) Reflects shares surrendered to the Issuer to satisfy tax-withholding obligations upon the vesting of restricted stock award granted on February 4, 2016.

#### **Remarks:**

\*\*\* Senior Vice President of Optical Component 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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