

APPLIED OPTOELECTRONICS, INC.

Form 4

November 07, 2014

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

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

## OMB APPROVAL

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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Chang Hung-Lun (Fred)

(Last) (First) (Middle)

C/O APPLIED  
OPTOELECTRONICS, INC., 13115  
JESS PIRTLE BLVD.

(Street)

SUGAR LAND, TX 77478

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading  
Symbol  
APPLIED OPTOELECTRONICS,  
INC. [AAOI]

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/05/2014

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

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

\*\*\* See Remarks

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_\_\_X\_\_\_\_ 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<br>Security<br>(Instr. 3)    | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|--|---|---|--------------------------------------|---|--|---|---|
| Common<br>Stock,<br>\$0.001 par<br>value | 11/05/2014                              |   | S                                    | 100 <sup>(1)</sup> D  | \$ 15.61 2,000   | D   |   |
| Common<br>Stock,<br>\$0.001 par<br>value | 11/05/2014                              |   | S                                    | 100 <sup>(1)</sup> D  | \$ 15.63 1,900   | D   |   |
| Common<br>Stock,                         | 11/05/2014                              |   | S                                    | 100 <sup>(1)</sup> D  | \$ 15.66 1,800   | D   |   |

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\$0.001 par  
value

Common  
Stock,  
\$0.001 par  
value

11/05/2014

S

200 (1) D

\$ 15.61

1,600

D

Common  
Stock,  
\$0.001 par  
value

11/05/2014

S

100 (1) D

\$ 15.66

1,500

D

Common  
Stock,  
\$0.001 par  
value

11/05/2014

S

100 (1) D

\$ 15.67

1,400

D

Common  
Stock,  
\$0.001 par  
value

11/05/2014

S

100 (1) D

\$ 15.7

1,300

D

Common  
Stock,  
\$0.001 par  
value

11/05/2014

S

100 (1) D

\$  
15.5775

1,200

D

Common  
Stock,  
\$0.001 par  
value

11/05/2014

S

100 (1) D

\$ 15.76

1,100

D

Common  
Stock,  
\$0.001 par  
value

11/05/2014

S

100 (1) D

\$ 15.76

1,000

D

Common  
Stock,  
\$0.001 par  
value

11/05/2014

S

100 (1) D

\$ 15.65

900

D

Common  
Stock,  
\$0.001 par  
value

11/05/2014

S

100 (1) D

\$ 15.7

800

D

Common  
Stock,  
\$0.001 par  
value

11/05/2014

S

100 (1) D

\$ 15.74

700

D

Common  
Stock,  
\$0.001 par

11/05/2014

S

100 (1) D

\$ 15.74

600

D

value

Common

Stock,  
\$0.001 par  
value

11/05/2014

S

100 (1) D

\$ 15.76 500

D

Common

Stock,  
\$0.001 par  
value

11/05/2014

S

100 (1) D

\$ 15.77 400

D

Common

Stock,  
\$0.001 par  
value

11/05/2014

S

100 (1) D\$  
15.7625 300

D

Common

Stock,  
\$0.001 par  
value

11/05/2014

S

200 (1) D

\$ 15.76 100

D

Common

Stock,  
\$0.001 par  
value

11/05/2014

S

100 (1) D\$  
15.5801 0

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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                    | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) | 8. Pr<br>Deri<br>Secu<br>(Inst         |
|---|---|---|---|---|--|--|--------------------|---|--|
|   |   |   |   | Code                                    | V (A) (D)  | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares |
| Incentive<br>Stock<br>Option                        | \$ 6  | 11/05/2014                              |   | M                                       | 367  | <u>(2)</u>   | 10/19/2019         | Common<br>Stock,<br>\$0.001   | 367                                    |

|                                       |      |            |   |     |            |            |                                 |     |           |
|---------------------------------------|------|------------|---|-----|------------|------------|---------------------------------|-----|-----------|
| (Right to Buy)                        |      |            |   |     |            |            |                                 |     | par value |
| Incentive Stock Option (Right to Buy) | \$ 6 | 11/05/2014 | M | 538 | <u>(2)</u> | 10/19/2019 | Common Stock, \$0.001 par value | 538 | S         |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |         |                 |
|---|---------------|-----------|---------|-----------------|
|   | Director      | 10% Owner | Officer | Other           |
| Chang Hung-Lun (Fred)<br>C/O APPLIED OPTOELECTRONICS, INC.<br>13115 JESS PIRTLE BLVD.<br>SUGAR LAND, TX 77478 |               |           |         | *** See Remarks |

## Signatures

/s/ David C. Kuo for Hung-Lun (Fred) 11/07/2014  
Chang

\_\_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) Sales were effected pursuant to Rule 10b5-1 trading plan dated May 13, 2014.
- (2) Options fully vested.

### 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.  
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