

ADVANCED ENERGY INDUSTRIES INC
Form SC 13G/A
February 12, 2010

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

SCHEDULE 13G

(Rule 13d-102)

Under the Securities Exchange Act of 1934

(Amendment No. 4)*

Advanced Energy Industries, Inc.

(Name of Issuer)

Common Stock, \$0.001 par value

(Title of Class of Securities)

007973 10 0

(CUSIP Number)

December 31, 2009

(Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which this Schedule is filed:

☐ Rule 13d-1(b)

☐ Rule 13d-1(c)

☐ Rule 13d-1(d)

* The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter the disclosures provided in a prior cover page.

The information required in the remainder of this cover page shall not be deemed to be filed for the purpose of Section 18 of the Securities Exchange Act of 1934 (" Act ") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see the Notes).

CUSIP No. 007973 10 0

13G

NAMES OF REPORTING PERSONS.

1 I.R.S. Identification Nos. of above persons (entities only).
Douglas S. Schatz & Jill E. Schatz Family Trust

CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (SEE INSTRUCTIONS)

2 (a) ☐
(b) ☐

SEC USE ONLY

3

CITIZENSHIP OR PLACE OF ORGANIZATION

4 WYOMING

SOLE VOTING POWER

5

NUMBER OF 6,641,764

SHARED VOTING POWER

SHARES BENEFICIALLY OWNED BY **6** 317,168

SOLE DISPOSITIVE POWER

EACH REPORTING PERSON **7** 6,641,764

SHARED DISPOSITIVE POWER

WITH: **8** 317,168

AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

9

6,958,932

10 CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (SEE INSTRUCTIONS)

o

11 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)

16.6%

12 TYPE OF REPORTING PERSON (SEE INSTRUCTIONS)

OO

CUSIP No. 007973 10 0

13G

NAMES OF REPORTING PERSONS.

1 I.R.S. Identification Nos. of above persons (entities only).
Douglas S. Schatz

CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (SEE INSTRUCTIONS)

2 (a) ☐
(b) ☐

SEC USE ONLY

3

CITIZENSHIP OR PLACE OF ORGANIZATION

4 UNITED STATES

SOLE VOTING POWER

5

NUMBER OF 6,641,764

SHARED VOTING POWER

6

SHARES
BENEFICIALLY OWNED BY 317,168

SOLE DISPOSITIVE POWER

7

EACH
REPORTING PERSON 6,641,764

SHARED DISPOSITIVE POWER

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WITH: 317,168

AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

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10 CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (SEE INSTRUCTIONS)

o

11 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)

16.6%

12 TYPE OF REPORTING PERSON (SEE INSTRUCTIONS)

IN

CUSIP No. 007973 10 0

13G

NAMES OF REPORTING PERSONS.

1 I.R.S. Identification Nos. of above persons (entities only).
Jill E. Schatz

CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (SEE INSTRUCTIONS)

2 (a) ☐
(b) ☐

SEC USE ONLY

3

CITIZENSHIP OR PLACE OF ORGANIZATION

4 UNITED STATES

SOLE VOTING POWER

5

NUMBER OF 6,641,764

SHARED VOTING POWER

6

SHARES
BENEFICIALLY OWNED BY 317,168

SOLE DISPOSITIVE POWER

7

EACH
REPORTING PERSON 6,641,764

SHARED DISPOSITIVE POWER

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WITH: 317,168

AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

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6,958,932

10 CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES (SEE INSTRUCTIONS)

o

11 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)

16.6%

12 TYPE OF REPORTING PERSON (SEE INSTRUCTIONS)

IN

CUSIP No. 007973 10 0

13G

Item 1.

(a) Name of Issuer

Advanced Energy Industries, Inc.

(b) Address of Issuer's Principal Executive Offices

1625 Sharp Point Drive
Fort Collins, CO 80525

Item 2.

(a) Name of Person Filing

Douglas S. Schatz & Jill E. Schatz Family Trust
Douglas S. Schatz
Jill E. Schatz

(b) Address of Principal Business Office or, if none, Residence

PO Box 481
Fort Collins, CO 80522

(c) Citizenship

Douglas S. Schatz & Jill E. Schatz Family Trust Wyoming
Douglas S. Schatz United States
Jill E. Schatz United States

(d) Title of Class of Securities

Common Stock, \$0.001 par value

(e) CUSIP Number

007973 10 0

Item 3. If this statement is filed pursuant to §§240.13d-1(b) or 240.13d-2(b) or (c), check whether the person filing is a:

Not applicable

Item 4. Ownership.

Provide the following information regarding the aggregate number and percentage of the class of securities of the issuer identified in Item 1.

(a) Amount beneficially owned:

Douglas S. Schatz & Jill E. Schatz Family Trust 6,958,932
Douglas S. Schatz 6,958,932
Jill E. Schatz 6,958,932

(b) Percent of class:

Douglas S. Schatz & Jill E. Schatz Family Trust 16.6%

Douglas S. Schatz 16.6%

Jill E. Schatz 16.6%

(c) Number of Shares as to which such person has:

Douglas S. Schatz & Jill E. Schatz Family Trust:

(i) sole power to vote or to direct the vote: 6,641,764

(ii) shared power to vote or to direct the vote: 317,168

(iii) sole power to dispose or to direct the disposition of: 6,641,764

(iv) shared power to dispose or to direct the disposition of: 317,168

CUSIP No. 007973 10 0

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Douglas S. Schatz:

(i) sole power to vote or to direct the vote: 6,641,764

(ii) shared power to vote or to direct the vote: 317,168

(iii) sole power to dispose or to direct the disposition of: 6,641,764

(iv) shared power to dispose or to direct the disposition of: 317,168

Jill E. Schatz:

(i) sole power to vote or to direct the vote: 6,641,764

(ii) shared power to vote or to direct the vote: 317,168

(iii) sole power to dispose or to direct the disposition of: 6,641,764

(iv) shared power to dispose or to direct the disposition of: 317,168

* Mr. and Mrs. Schatz are trustees of a charitable foundation that is the record holder of 317,168 shares of common stock of the issuer. The two other trustees of the charitable foundation are members of Mr. and Mrs. Schatz's immediate family. Accordingly, Mr. Schatz and Mrs. Schatz may be deemed to share with the other trustees voting and dispositive power with respect to the charitable

foundation s
317,168 shares.
Mr. and
Mrs. Schatz
disclaim
beneficial
ownership of
the shares held
by the charitable
foundation.

Item 5. Ownership of Five Percent or Less of a Class

Not applicable.

Item 6. Ownership of More than Five Percent on Behalf of Another Person.

Not applicable.

**Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on By
the Parent Holding Company**

Not applicable.

Item 8. Identification and Classification of Members of the Group

Not applicable.

Item 9. Notice of Dissolution of Group

Not applicable.

Item 10. Certification

Not applicable.

CUSIP No. 007973 10 0

13G

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Date: February 11, 2010

DOUGLAS S. SCHATZ &
JILL E. SCHATZ FAMILY TRUST

By: /s/ Douglas S. Schatz
Douglas S. Schatz, Trustee

By: /s/ Jill E. Schatz
Jill E. Schatz, Trustee

By: /s/ Douglas S. Schatz
Douglas S. Schatz

By: /s/ Jill E. Schatz
Jill E. Schatz