

BALL FREDERICK  
Form 4  
May 02, 2013

**FORM 4**

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

OMB APPROVAL

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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 \*  
**BALL FREDERICK**

2. Issuer Name and Ticker or Trading Symbol  
**ADVANCED ENERGY INDUSTRIES INC [AEIS]**

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
**1625 SHARP POINT DRIVE**  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
**05/01/2013**

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

**FORT COLLINS, CO 80525**

(City) (State) (Zip)

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

**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 Ownership (Instr. 4)
Common Stock	05/01/2013		A	V 8,000 (1)	(A) or (D) \$ 0 (2)	51,000 (3)	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)**

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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)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Owned Following Reporting Transaction (Instr. 6)
				Code V (A) (D)		Date Exercisable Expiration Date	Title	Amount or Number of Shares	

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BALL FREDERICK 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525	X			

## Signatures

Thomas O. McGimpsey - Attorney-in-Fact 05/02/2013

\_\_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) The restricted stock units granted on May 1, 2013 will vest 100% at the first anniversary of the grant date. This is an annual non-employee director grant as outlined in the 2013 proxy.
  - (2) Represents shares of restricted stock units.
  - (3) Mr. Ball has been granted a total of 51,000 RSUs in six grants: (A) 15,000 RSUs granted on October 28, 2008; (B) 6,000 RSUs granted on May 6, 2009; (C) 6,000 RSUs granted on May 4, 2010; these RSU grants vest annually in four equal installments beginning 1 year after grant date. (D) 8,000 RSUs granted May 4, 2011 (E) 8,000 RSUs granted May 2, 2012;(F) 8,000 RSUs granted May 1, 2013 all for these (D-F)vest 100% at the first anniversary of the grant date. As of this filing, 38,500 RSUs are vested.

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.