

APPLIED OPTOELECTRONICS, INC.  
Form 4  
January 17, 2017

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
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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 \*  
Yeh Shu-Hua (Joshua)

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)  
01/12/2017

\_\_\_\_ Director  
 Officer (give title below)  
\_\_\_\_ 10% Owner  
\_\_\_\_ Other (specify below)  
\*\*\* See Remarks

C/O APPLIED OPTOELECTRONICS, INC., 13139 JESS PIRTLE BLVD.

(Street)

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

SUGAR LAND, TX 77478

(City) (State) (Zip)

**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)	
			Code	V	Amount	(A) or (D)	Price	
Common Stock, \$.001 par value	01/12/2017		A		7,667	A	\$ 0 83,409	D
Common Stock, \$.001 par value	01/12/2017		A		6,000	A	\$ 0 89,409	D
Common Stock,	01/12/2017		A		4,333	A	\$ 0 93,742	D

\$.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 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 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 Security (Instr. 3 and 4)	Amount or Number of Shares
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	7,667
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	6,000
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	4,333
Non-Qualified Stock Option (Right to buy)	\$ 6	01/12/2017		M	13,000	<u>(2)</u> 01/18/2023	Common Stock, \$0.001 par value	13,000

## Reporting Owners

Reporting Owner Name / Address

Relationships

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.