

APPLIED OPTOELECTRONICS, INC.  
 Form 4  
 May 15, 2017

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
 Expires: January 31, 2015  
 Estimated average burden hours per response... 0.5

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 \*  
 Lin Chih-Hsiang (Thompson)

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)  
 05/11/2017

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

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 Indirect Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock, \$.001 par value	05/11/2017		M		2,000 A \$ 6	320,455	D
Common Stock, \$.001 par value	05/11/2017		F <sup>(1)</sup>		289 D \$ 64.97	320,166	D
Common Stock,	05/11/2017		M		17,407 A \$ 6	337,573	D

Edgar Filing: APPLIED OPTOELECTRONICS, INC. - Form 4

Common Stock, \$0.001 par value	05/11/2017	F <sup>(2)</sup>	2,511	D	\$ 64.97	335,062	D
Common Stock, \$0.001 par value	05/11/2017	M	10,667	A	\$ 6	345,729	D
Common Stock, \$0.001 par value	05/11/2017	F <sup>(3)</sup>	1,540	D	\$ 64.97	344,189	D
Common Stock, \$0.001 par value	05/12/2017	S	8,586	D	\$ <u>66</u> <sup>(4)</sup>	335,603	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 Securities (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Incentive Stock Option (Right to Buy)	\$ 6	05/11/2017		M	2,000	<u>(5)</u> 08/23/2020	Common Stock, \$0.001 par value 2,000
Incentive Stock Option	\$ 6	05/11/2017		M	17,407	<u>(5)</u> 03/04/2021	Common Stock, \$0.001 par value 17,407

Right to Buy	\$ 6	05/11/2017	M	10,667	<u>(5)</u>	05/22/2022	Common Stock, \$0.001 par value	10,667
--------------	------	------------	---	--------	------------	------------	---------------------------------	--------

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Lin Chih-Hsiang (Thompson) C/O APPLIED OPTOELECTRONICS, INC. 13139 JESS PIRTLE BLVD. SUGAR LAND, TX 77478	X		President and CEO	

## Signatures

/s/ David C. Kuo, attorney in fact for Chih-Hsiang (Thompson) Lin 05/15/2017

\*\*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) Represents a "net exercise" of outstanding stock options. The reporting person received 1,711 shares of common stock on net exercise of option to purchase 2,000 shares of common stock. The Company withheld 289 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on May 10, 2017 of \$64.97, pursuant to the terms of the 2006 Stock Incentive Plan.
  - (2) Represents a "net exercise" of outstanding stock options. The reporting person received 14,896 shares of common stock on net exercise of option to purchase 17,407 shares of common stock. The Company withheld 2,511 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on May 10, 2017 of \$64.97, pursuant to the terms of the 2006 Stock Incentive Plan.
  - (3) Represents a "net exercise" of outstanding stock options. The reporting person received 9,127 shares of common stock on net exercise of option to purchase 10,667 shares of common stock. The Company withheld 1,540 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on May 10, 2017 of \$64.97, pursuant to the terms of the 2006 Stock Incentive Plan.
  - (4) The shares were sold in multiple transactions on May 12, 2017 at an actual sale price ranging from \$66.00 to \$66.07 per share. The price reported reflects the weighted average sale price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price.
  - (5) Option fully 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.