

WASSERMAN YUVAL  
Form 4  
February 20, 2013

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
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 \*  
WASSERMAN YUVAL

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)  
02/15/2013

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
President Thin Films Bus. Unit

FORT COLLINS, CO 80525

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

(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 Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	02/15/2013		M		31,319	A	\$ 14.05 <u>(1)</u>
Common Stock	02/15/2013		M		42,874	A	\$ 15.06 <u>(2)</u>
Common Stock	02/15/2013		M		3,937	A	\$ 16.25
Common Stock	02/15/2013		S		87,147 <u>(3)</u>	D	\$ 18
	02/15/2013		F		174 <u>(4)</u>	D	

Edgar Filing: WASSERMAN YUVAL - Form 4

Common Stock					\$			
					17.95			
Common Stock	02/19/2013		F	319 <sup>(4)</sup>	D	\$	16,007 <sup>(5)</sup>	D
					18.36			

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)	Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 13.7	02/15/2013		M	9,383	<sup>(6)</sup> 04/22/2018	Common Stock	9,383	
Employee Stock Option (right to buy)	\$ 14.02	02/15/2013		M	14,062	<sup>(7)</sup> 07/29/2018	Common Stock	14,062	
Employee Stock Option (right to buy)	\$ 14.5	02/15/2013		M	3,937	<sup>(8)</sup> 10/26/2020	Common Stock	3,937	
Employee Stock Option (right to buy)	\$ 14.52	02/15/2013		M	3,937	<sup>(9)</sup> 02/15/2021	Common Stock	3,937	
Employee Stock Option	\$ 14.93	02/15/2013		M	35,000	<sup>(10)</sup> 10/26/2017	Common Stock	35,000	

(right to buy)

Employee Stock

Option	\$ 15.65	02/15/2013	M	7,874	<u>(11)</u>	02/16/2020	Common Stock	7,874
--------	----------	------------	---	-------	-------------	------------	--------------	-------

Employee Stock

Option	\$ 16.25	02/15/2013	M	3,937	<u>(12)</u>	04/20/2020	Common Stock	3,937
--------	----------	------------	---	-------	-------------	------------	--------------	-------

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
WASSERMAN YUVAL 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525			President Thin Films Bus. Unit	

## Signatures

/s/ Thomas O. McGimpsey  
(Attorney-in-Fact) 02/20/2013

\_\_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 price reported in Column 4 is a weighted average price. These shares were acquired upon exercise of multiple option grants with exercise prices ranging from \$13.70 to \$14.52, inclusive, as reported on Table II. The reporting person undertakes to provide to Advanced Energy, any security holder of Advanced Energy, or the staff of the Securities and Exchange Commission, upon request, full information regarding each separate price within the ranges set forth in this footnote.
  - (2) The price reported in Column 4 is a weighted average price. These shares were acquired upon exercise of multiple option grants with exercise prices ranging from \$14.93 to \$15.65, inclusive, as reported on Table II. The reporting person undertakes to provide to Advanced Energy, any security holder of Advanced Energy, or the staff of the Securities and Exchange Commission, upon request, full information regarding each separate price within the ranges set forth in this footnote.
  - (3) The sales reported were effected pursuant to a 10b5-1 plan adopted by the reporting person on 3/7/2012.
  - (4) Payment of tax liability by withholding securities incident to vesting of restricted stock.
  - (5) Represents 16,007 shares of Restricted Stock Units. As of the reporting date 4,472 are vested.
 

The option represents a right to purchase a total of 12,510 shares, became exercisable in four equal annual installments beginning on 5/22/2009, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 12,510 shares.
  - (6) The option represents a right to purchase a total of 18,750 shares, became exercisable in four equal annual installments beginning on 7/29/2009, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 18,750 shares.
  - (7)
  - (8)

## Edgar Filing: WASSERMAN YUVAL - Form 4

The option represents a right to purchase a total of 15,750 shares, becomes exercisable in four equal annual installments beginning on 10/26/2011, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 7,874 shares.

- (9) The option represents a right to purchase a total of 11,812 shares, becomes exercisable in four equal annual installments beginning on 02/15/2012, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 3,937 shares.

- (10) The option represents a right to purchase a total of 35,000 shares, became exercisable in four equal annual installments beginning on 10/26/2008, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 35,000 shares.

- (11) The option represents a right to purchase a total of 11,812 shares, becomes exercisable in four equal annual installments beginning on 2/16/2011, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 7,874 shares.

- (12) The option represents a right to purchase a total of 13,389 shares, becomes exercisable in four equal annual installments beginning on 4/20/2011, which was the first anniversary of the date on which the option was granted. As of the transaction date, the option has vested to 7,874 shares.

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.