

VICOR CORP
Form 4
March 02, 2017

FORM 4

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

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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
SIMMS JAMES A

(Last) (First) (Middle)

25 FRONTAGE RD.

(Street)

ANDOVER, MA 01810

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
VICOR CORP [vicr]

3. Date of Earliest Transaction
(Month/Day/Year)
02/28/2017

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
CFO and Secretary

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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
Common Stock	02/28/2017		M		3,541	A	\$ 5.35	48,541	D	
Common Stock	02/28/2017		S		3,541	D	\$ 16.0921	45,000	D	
Common Stock	02/28/2017		M		11,459	A	\$ 5.35	56,459	D	
Common Stock	02/28/2017		S		11,459	D	\$ 16.1388	45,000	D	
Common Stock	02/28/2017		M		10,000	A	\$ 6.29	55,000	D	

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Common Stock	02/28/2017	S	10,000	D	\$ 16.1388	45,000	D
Common Stock	02/28/2017	M	7,541	A	\$ 8.38	52,541	D
Common Stock	02/28/2017	S	7,541	D	\$ 16.1388	45,000	D

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(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
Non Qualified Stock Option	\$ 5.35	02/28/2017		M	3,541	<u>(1)</u> 05/14/2023	Common Stock 3,541
Non Qualified Stock Option	\$ 5.35	02/28/2017		M	11,459	<u>(1)</u> 05/14/2023	Common Stock 11,459
Non Qualified Stock Option	\$ 6.29	02/28/2017		M	10,000	06/17/2014 06/17/2023	Common Stock 10,000
Non Qualified Stock Option	\$ 8.38	02/28/2017		M	7,541	06/17/2016 06/17/2023	Common Stock 7,541

Reporting Owners

Reporting Owner Name / Address Relationships

Reporting Owners

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Director 10% Owner Officer Other

SIMMS JAMES A
25 FRONTAGE RD.
ANDOVER, MA 01810

X

CFO and Secretary

Signatures

/s/Richard J. Nagel Jr. Attorney in Fact for James A.
Simms

03/02/2017

__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) Granted Under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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