APPLIED OPTOELECTRONICS, INC.

Form 4

January 17, 2017

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

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OMB APPROVAL

SECURITIES

Form 5 obligations may continue. See Instruction

Check this box

if no longer

Section 16.

Form 4 or

subject to

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

1(b).

(Last)

C/O APPLIED

(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.

5. Relationship of Reporting Person(s) to

(Check all applicable)

*** See Remarks

Issuer

INC. [AAOI]

Director 10% Owner

X_ Officer (give title below)

Other (specify

(Month/Day/Year) 01/12/2017

(Middle)

OPTOELECTRONICS, INC., 13139

(Street)

(First)

JESS PIRTLE BLVD.

4. If Amendment, Date Original

3. Date of Earliest Transaction

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

X Form filed by One Reporting Person Form filed by More than One Reporting

SUGAR LAND, TX 77478

(City)	(State) (2	Zip) Table	e I - Non-D	erivative S	ecurit	ies Acc	quired, Disposed (of, or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	. Transaction Date 2A. Deemed Month/Day/Year) Execution Date, if any (Month/Day/Year)		on(A) or Dia (D)	(A)		5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code V	Amount	or (D)	Price	(Instr. 3 and 4)		
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	

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\$.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 SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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. Transactic Code (Instr. 8)	TransactionDerivative Code Securities		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amour Underlying Securit (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amo or Num of Sh	
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	7,6	
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	6,0	
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	4,3	
Non-Qualified Stock Option (Right to buy)	\$ 6	01/12/2017		M	13,000	(2)	01/18/2023	Common Stock, \$0.001 par value	13,0	

Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners 2

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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.

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