

MCGIMPSEY THOMAS O

Form 3

August 09, 2011

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

MCGIMPSEY THOMAS O

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

08/08/2011

3. Issuer Name and Ticker or Trading Symbol

ADVANCED ENERGY INDUSTRIES INC [AEIS]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

EVP Gen Counsel & Corp Sec

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person☐ Form filed by More than One Reporting Person

1625 SHARP POINT DRIVE

(Street)

FORT COLLINS, CO 80525

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities Beneficially Owned
(Instr. 4)3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Common Stock

7,669 ⁽¹⁾

D

A

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)1. Title of Derivative Security
(Instr. 4)2. Date Exercisable and Expiration Date
(Month/Day/Year)

Date Exercisable

Expiration Date

3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

Title

Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)
or Indirect6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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				Shares		(I) (Instr. 5)	
Employee Stock Option (right to buy)	04/24/2009	04/24/2019	Common Stock	5,250	\$ 7.95	D	Â
Employee Stock Option (right to buy)	07/21/2009	07/21/2019	Common Stock	5,250	\$ 11.21	D	Â
Employee Stock Option (right to buy)	10/27/2009	10/27/2019	Common Stock	5,250	\$ 12.77	D	Â
Employee Stock Option (right to buy)	02/16/2010	02/16/2011	Common Stock	10,500	\$ 15.65	D	Â
Employee Stock Option (right to buy)	04/20/2010	04/20/2020	Common Stock	5,250	\$ 16.25	D	Â
Employee Stock Option (right to buy)	07/20/2010	07/20/2020	Common Stock	5,250	\$ 13.85	D	Â
Employee Stock Option (right to buy)	10/26/2010	10/26/2020	Common Stock	5,250	\$ 14.5	D	Â
Employee Stock Option (right to buy)	02/15/2011	02/15/2021	Common Stock	6,250	\$ 14.52	D	Â
Employee Stock Option (right to buy)	04/28/2011	04/28/2021	Common Stock	6,250	\$ 14.21	D	Â
Employee Stock Option (right to buy)	07/22/2011	07/22/2021	Common Stock	6,250 ⁽²⁾	\$ 12.44	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
MCGIMPSEY THOMAS O 1625 SHARP POINT DRIVE FORT COLLINS, CO 80525	Â	Â	Â EVP Gen Counsel & Corp Sec	Â

Signatures

/s/ Thomas O.
McGimpsey

08/09/2011

**Signature of Reporting
Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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).

Represents 7,451 shares of Restricted Stock Units (RSUs) and 218 shares of Employee Stock Purchase Plan Shares. The RSUs vest in four equal annual installments beginning on the first anniversary of the grant date. Mr. McGimpsey has been granted the following:

- (1) 4/24/2009 750 shares, 7/21/2009 750 shares, 10/27/2009 750 shares, 2/16/2010 1,500 shares, 4/20/2010 750 shares, 7/20/2010 750 shares, 10/26/2010 750 shares, 2/15/2011 1,000 shares, 4/28/2011 1,000 shares, and 7/22/2011 1,000 shares. As of 8/8/2011, 1,135 shares of the RSUs are sellable.

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- (2) Represents a total of 60,750 shares of Employee Stock Options granted (right to buy). Each grant will vest in four equal installments beginning of the anniversary of the grant date. As of the reporting date, 11,809 are vested.

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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