

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

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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 ⁽¹⁾		289 D \$ 64.97	320,166	D
Common Stock,	05/11/2017		M		17,407 A \$ 6	337,573	D

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Common Stock, \$0.001 par value	05/11/2017	F ⁽²⁾	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 ⁽³⁾	1,540	D	\$ 64.97	344,189	D
Common Stock, \$0.001 par value	05/12/2017	S	8,586	D	\$ <u>66</u> ⁽⁴⁾	335,603	D

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

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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

