

Lin Chih-Hsiang (Thompson)  
 Form 4  
 November 20, 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

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 \*  
 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)  
 Director  10% Owner  
 Officer (give title below)  Other (specify below)  
 President and CEO

(Last) (First) (Middle)  
 C/O APPLIED OPTOELECTRONICS, INC., 13139 JESS PIRTLE BLVD.  
 (Street)

3. Date of Earliest Transaction (Month/Day/Year)  
 11/16/2017

SUGAR LAND, TX 77478  
 (City) (State) (Zip)

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

**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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D)  | Price   |  |                                   |
| Common Stock, \$.001 par value  | 11/16/2017                           |  | M                              | 80,000  | A \$ 9.96   | 522,837  | D                                 |
| Common Stock, \$.001 par value  | 11/16/2017                           |  | F                              | 43,749 <sup>(1)</sup>   | D \$ 45.4   | 479,088  | D                                 |
| Common Stock,                   | 11/16/2017                           |  | S                              | 1,300   | D \$ 45.3   | 477,788  | D                                 |

Edgar Filing: Lin Chih-Hsiang (Thompson) - Form 4

|                                 |            |   |       |   |         |         |     |
|---------------------------------|------------|---|-------|---|---------|---------|-----|
| \$ .001 par value               |            |   |       |   |         |         | (2) |
| Common Stock, \$ .001 par value | 11/20/2017 | S | 2,300 | D | \$ 45.2 | 475,488 | D   |

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 Security (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| Non-Qualified Stock Option (Right to Buy)  | \$ 9.96  | 11/16/2017                           |  | M                              | 80,000  | (4) 09/26/2023   | Common Stock, \$0.001 par value                             |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                   |       |
|--|---------------|-----------|-------------------|-------|
|  | Director      | 10% Owner | Officer           | Other |
| Lin Chih-Hsiang (Thompson)<br>C/O APPLIED OPTOELECTRONICS, INC.<br>13139 JESS PIRTLE BLVD.<br>SUGAR LAND, TX 77478 | X             |           | President and CEO |       |

## Signatures

/s/ David C. Kuo, attorney in fact for Chih-Hsiang (Thompson) Lin

11/20/2017

\*\*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).

Represents a "net exercise" of outstanding stock options. The reporting person received 36,251 shares of common stock on net exercise of option to purchase 80,000 shares of common stock. The Company withheld 43,749 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on November 15, 2017 of \$45.40, pursuant to the terms of the 2013 Equity Incentive Plan.

(1) The shares were sold in multiple transactions on November 16, 2017 at an actual sale price \$45.30 per share. The reporting person undertakes to provide upon request by the SEC staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold during each transaction.

(2) The shares were sold in multiple transactions on November 20, 2017 at an actual sale price \$45.20 per share. The reporting person undertakes to provide upon request by the SEC staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold during each transaction.

(4) Options fully vested.

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.