

APPLIED OPTOELECTRONICS, INC.

Form 4

November 02, 2015

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
Number: 3235-0287
Expires: January 31,
2005
Estimated average
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Murry Stefan J.

(Last) (First) (Middle)

C/O APPLIED
OPTOELECTRONICS, INC., 13115
JESS PIRTLE BLVD.

(Street)

SUGAR LAND, TX 77478

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol

APPLIED OPTOELECTRONICS,
INC. [AAOI]

3. Date of Earliest Transaction
(Month/Day/Year)
10/29/2015

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director ____ 10% Owner
____X____ Officer (give title below) ____ Other (specify below)
Chief Financial Officer

6. Individual or Joint/Group Filing(Check
Applicable Line)
____X____ 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)
Common Stock, \$.001 par value	10/29/2015		M	1,444 A \$ 6	10,989	D	
Common Stock, \$.001 par value	10/29/2015		F ⁽²⁾	535 D \$ 21.3	10,454	D	
Common Stock,	10/29/2015		M	2,000 A \$ 6	12,454	D	

\$.001 par
value

Common
Stock,
\$.001 par
value

10/29/2015

F⁽³⁾

741

D

\$
21.3

11,713

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)	8. Amount or Number of Shares
Incentive Stock Option (Right to Buy)	\$ 6	10/29/2015		M	1,444	⁽¹⁾ 10/19/2019	Common Stock, \$.001 par value	1,444
Incentive Stock Option (Right to Buy)	\$ 6	10/29/2015		M	2,000	⁽¹⁾ 08/23/2020	Common Stock, \$.001 par value	2,000

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Murry Stefan J.
C/O APPLIED OPTOELECTRONICS, INC.
13115 JESS PIRTLE BLVD.
SUGAR LAND, TX 77478

Chief Financial Officer

Signatures

/s/ David C. Kuo, attorney in fact for Stefan J.
Murry

11/02/2015

__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) Options fully vested

Represents a "net exercise" of outstanding stock options. The reporting person received 909 shares of common stock on net exercise of option to purchase 1,444 shares of common stock. The Company withheld 535 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on October 28, 2015 of \$21.30, pursuant to the terms of the 2006 Stock Incentive Plan.

- (2)
- Represents a "net exercise" of outstanding stock options. The reporting person received 1,259 shares of common stock on net exercise of option to purchase 2,000 shares of common stock. The Company withheld 741 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on October 28, 2015 of \$21.30, pursuant to the terms of the 2006 Stock Incentive Plan.
- (3)

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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