

MCGIMPSEY THOMAS O

Form 3/A

October 27, 2011

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**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)

1625 SHARP POINT DRIVE

(Street)

FORT COLLINS, CO 80525

(City)

(State)

(Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

10/26/2011

3. Issuer Name and Ticker or Trading Symbol

ADVANCED ENERGY INDUSTRIES INC [AEIS]

4. Relationship of Reporting
Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

EVP Gen Counsel & Corp Sec

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

08/08/2011

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 Beneficially Owned**1. 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

8,669 ⁽¹⁾

D

A

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

SEC 1473 (7-02)

**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.****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
ExercisableExpiration
Date3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title

Amount or
Number of4. Conversion
or Exercise
Price of
Derivative
Security5. 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)	04/24/2010	04/24/2019	Common Stock	5,250 ⁽²⁾	\$ 7.95	D	Â
Employee Stock Option (right to buy)	07/21/2010	07/21/2019	Common Stock	5,250 ⁽²⁾	\$ 11.21	D	Â
Employee Stock Option (right to buy)	10/27/2010	10/27/2019	Common Stock	5,250 ⁽²⁾	\$ 12.77	D	Â
Employee Stock Option (right to buy)	02/16/2011	02/16/2020	Common Stock	10,500 ⁽²⁾	\$ 15.65	D	Â
Employee Stock Option (right to buy)	04/20/2011	04/20/2020	Common Stock	5,250 ⁽²⁾	\$ 16.25	D	Â
Employee Stock Option (right to buy)	07/20/2011	07/20/2020	Common Stock	5,250 ⁽²⁾	\$ 13.85	D	Â
Employee Stock Option (right to buy)	10/26/2011	10/26/2020	Common Stock	5,250 ⁽²⁾	\$ 14.5	D	Â
Employee Stock Option (right to buy)	02/15/2012	02/15/2021	Common Stock	6,250 ⁽²⁾	\$ 14.52	D	Â
Employee Stock Option (right to buy)	04/28/2012	04/28/2021	Common Stock	6,250 ⁽²⁾	\$ 14.21	D	Â
Employee Stock Option (right to buy)	07/22/2012	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

10/26/2011

**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 8,451 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: 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 Employee Stock Options granted (right to buy). Each grant will vest in four equal installments beginning on the anniversary of the grant date.

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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