

APPLIED OPTOELECTRONICS, INC.
Form 4
March 06, 2014

FORM 4

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

OMB APPROVAL

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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 *
Chang Hung-Lun (Fred)

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)
03/04/2014

___ Director ___ 10% Owner
X Officer (give title below) ___ Other (specify below)
*** See Remarks below

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

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

6. Individual or Joint/Group Filing(Check Applicable Line)
X 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 Ownership (Instr. 4)
				(A) or (D)	Price		
Common Stock, \$0.001 par value	03/04/2014		M	751	A \$ 3	3,333	D
Common Stock, \$0.001 par value	03/04/2014		F	306	D \$ 25.11	3,027	D
Common Stock,	03/04/2014		M	2,833	A \$ 4.5	5,860	D

\$0.001 par value								
Common Stock, \$0.001 par value	03/04/2014	F	508	D	\$ 25.11	5,352		D
Common Stock, \$0.001 par value	03/04/2014	M	400	A	\$ 7.5	5,752		D
Common Stock, \$0.001 par value	03/04/2014	F	120	D	\$ 25.11	5,632		D

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

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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)	8. Amount or Number of Shares	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Non-Qualified Stock Option (Right to Buy)	\$ 3	03/04/2014		M	751	07/01/2006 12/31/2014	Common Stock, \$0.001 par value	751	
Incentive Stock Option (Right to Buy)	\$ 4.5	03/04/2014		M	2,833	<u>(1)</u> 07/31/2014	Common Stock, \$0.001 par value	2,833	
Incentive Stock Option (Right to Buy)	\$ 7.5	03/04/2014		M	400	<u>(1)</u> 06/09/2015	Common Stock, \$0.001	400	

