CIENA CORP Form 4 March 03, 2015

### FORM 4

## OMB APPROVAL

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

OMB Number: 3235-0287

Check this box if no longer subject to Section 16.

Expires: January 31, 2005

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Estimated average burden hours per response... 0.5

Form 4 or Form 5 obligations may continue. See Instruction

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

1(b).

(Print or Type Responses)

| 1. Name and Address of Reporting Person * ALEXANDER STEPHEN B |                         |  | 2. Issuer Name and Ticker or Trading<br>Symbol<br>CIENA CORP [CIEN] | 5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)   |  |  |
|---|-------------------------|--|---|--|--|--|
| (Last)  | (Last) (First) (Middle) |  | 3. Date of Earliest Transaction                                     | (energia un applicable)  |  |  |
|   |                         |  | (Month/Day/Year)  | Director 10% Owner   |  |  |
| C/O CIENA CORPORATION, 7035<br>RIDGE RD.                      |                         |  | 03/02/2015  | X Officer (give title Other (specify below) Sr VP Chief Technology Officer |  |  |
| (Street)  |                         |  | 4. If Amendment, Date Original                                      | 6. Individual or Joint/Group Filing(Check                                  |  |  |
|   |                         |  | Filed(Month/Day/Year)   | Applicable Line) _X_ Form filed by One Reporting Person                    |  |  |
| HANOVER, MD 21076-1426  |                         |  |   | Form filed by More than One Reporting Person                               |  |  |

|   | (City)                      | (State) (   | Zip) Table | e I - Non-D   | erivative    | Secur            | rities Acq  | uired, Disposed o   | f, or Beneficial       | ly Owned |
|---|-----------------------------|---|------------|---|--------------|------------------|-------------|---|------------------------|----------|
| S | Title of ecurity (Instr. 3) | 2. Transaction Date (Month/Day/Year) 2A. Deemed Execution Date any (Month/Day/Year) |            | 3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8) |              |                  | d of (D)    | 5. Amount of Securities Form: Direct Indirect Beneficially (D) or Beneficial Owned Indirect (I) Ownership Following (Instr. 4) (Instr. 4) | Indirect<br>Beneficial |          |
|   |                             |   |            | Code V  | Amount       | (A)<br>or<br>(D) | Price       | Reported<br>Transaction(s)<br>(Instr. 3 and 4)  |                        |          |
|   | Common<br>Stock             | 03/02/2015  |            | M   | 3,750        | A                | \$<br>16.52 | 172,800 (1)   | D                      |          |
|   | Common<br>Stock             | 03/02/2015  |            | S   | 3,750<br>(2) | D                | \$<br>20.99 | 169,050 (1)   | 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)

#### Edgar Filing: CIENA CORP - Form 4

## Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. 5. Number Transaction Derivative Code Securities (Instr. 8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) |       | 6. Date Exercisable and Expiration Date (Month/Day/Year) |                    | 7. Title and Amount<br>Underlying Securitie<br>(Instr. 3 and 4) |                                       |
|---|---|---|---|---|-------|--|--------------------|---|---------------------------------------|
|   |   |   |   | Code V  | ŕ     | Date<br>Exercisable                                      | Expiration<br>Date | Title   | Amour<br>or<br>Number<br>of<br>Shares |
| Non-Qualified<br>Stock Option<br>(right to buy)     | \$ 16.52  | 03/02/2015                              |   | M   | 3,750 | <u>(3)</u>   | 11/02/2015         | Common<br>Stock   | 3,75                                  |

## **Reporting Owners**

| Reporting Owner Name / Address   | Relationships |           |                                      |       |  |  |  |  |
|--|---------------|-----------|--------------------------------------|-------|--|--|--|--|
| Reporting Owner Name / Address   | Director      | 10% Owner | Officer                              | Other |  |  |  |  |
| ALEXANDER STEPHEN B<br>C/O CIENA CORPORATION<br>7035 RIDGE RD.<br>HANOVER, MD 21076-1426 |               |           | Sr VP Chief<br>Technology<br>Officer |       |  |  |  |  |

## **Signatures**

By: Erik Lichter For: Stephen B.
Alexander

03/03/2015

\*\*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) Shares reported include unvested Restricted Stock Units (RSUs).
- (2) Sales were effected pursuant to Rule 10b5-1 trading plan dated 9/19/2014.
- (3) Option is 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.

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