CIENA CORP Form 4

December 23, 2014

### FORM 4

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

Check this box if no longer subject to STATEMENT

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Form 5 obligations may continue. *See* Instruction

Section 16.

Form 4 or

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

See Instruction 30(11) 01 (16).

(Print or Type Responses)

1. Name and Address of Reporting Person \*\*
Morin Philippe

2. Issuer Name **and** Ticker or Trading Symbol

CIENA CORP [CIEN]

(Last) (First) (Middle) 3. Date of Earliest Transaction

(Month/Day/Year) 12/22/2014

C/O CIENA CORPORATION, 7035 RIDGE RD.

(Street)

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

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

**OMB** 

Number:

Expires:

response...

Estimated average

burden hours per

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

\_\_\_\_ Director \_\_\_\_\_ 10% Owner \_\_\_\_ X\_\_ Officer (give title \_\_\_\_\_ Other (specify

below) below)
SVP, Global Field Organization

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person \_\_\_ Form filed by More than One Reporting

Person

HANOVER, MD 21076-1426

(City)	(State)	(Zip) Tab	le I - Non-	Derivativ	e Secu	rities Acqui	red, Disposed of,	or Beneficial	y Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. 4. Securities Acquired (A) Transactiom Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)  (A) or			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
Common Stock	12/22/2014		Code V D	Amount 1,143 (1)		Price \$ 18.6119	(Instr. 3 and 4) 272,368 (2)	D	
Common Stock	12/22/2014		D	3,420 (1)	D	\$ 18.6103	268,948 (2)	D	
Common Stock	12/22/2014		D	3,594 (3)	D	\$ 18.6112	265,354 (2)	D	
Common Stock	12/22/2014		D	5,390 (3)	D	\$ 18.6127	259,964 (2)	D	
Common Stock	12/22/2014		D	4,593 (4)	D	\$ 18.6105	255,371 (2)	D	

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Common Stock	12/22/2014	D	1,218 (5)	D	\$ 18.6114	254,153 <u>(2)</u>	D
Common Stock	12/22/2014	D	5,161 (6)	D	\$ 18.6116	248,992 (2)	D
Common Stock	12/22/2014	D	1,649 (7)	D	\$ 18.6109	247,343 (2)	D
Common Stock	12/22/2014	D	912 (8)	D	\$ 18.6095	246,431 (2)	D
Common Stock	12/22/2014	D	1,348 (9)	D	\$ 18.6102	245,083 (2)	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)

9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

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. Transact Code (Instr. 8)	5. ionNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Titl Amou Under Secur (Instr.	int of rlying	8. Price of Derivative Security (Instr. 5)	
				Code V		Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Morin Philippe C/O CIENA CORPORATION 7035 RIDGE RD. HANOVER, MD 21076-1426			SVP, Global Field Organization			

Reporting Owners 2

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### **Signatures**

By: Erik Lichter For: Philippe
Morin

12/23/2014

\*\*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).
- Shares reported represent an amount sold to cover the tax liabilities of the reporting person pursuant to a 10b5-1 sales instruction related (1) to a performance stock unit (PSU) award agreement dated 12/17/2013. The earning of the PSU was previously reported on Table I of reporting person's Form 4 on 12/19/2014.
- (2) Shares reported include unvested Restricted Stock Units (RSUs).
- Shares reported represent an amount sold to cover the tax liabilities of the reporting person pursuant to a 10b5-1 sales instruction related (3) to performance stock unit (PSU) award agreement dated 12/18/2012. The earning of the PSU was previously reported on Table I of reporting person's Form 4 on 12/19/2013.
- Shares reported represent an amount sold to cover the tax liabilities of the reporting person pursuant to a 10b5-1 sales instruction related (4) to a performance stock unit (PSU) award agreement dated 8/1/2011. Acquisition of the PSU was previously reported in Table I of reporting person's Form 4 on 8/3/2011.
- Shares reported represent an amount sold to cover the tax liabilities of the reporting person pursuant to a 10b5-1 sales instruction related to a restricted stock unit (RSU) award agreement dated 12/15/2011. Acquisition of the RSU was previously reported in Table I of reporting person's Form 4 on 12/19/2011.
- Shares reported represent an amount sold to cover the tax liabilities of the reporting person pursuant to a 10b5-1 sales instruction related (6) to a restricted stock unit (RSU) award agreement dated 8/1/2011. Acquisition of the RSU was previously reported in Table I of reporting person's Form 4 on 8/3/2011.
- Shares reported represent an amount sold to cover the tax liabilities of the reporting person pursuant to a 10b5-1 sales instruction related (7) to a restricted stock unit (RSU) award agreement dated 12/14/2010. Acquisition of the RSU was previously reported in Table I of reporting person's Form 4 on 12/16/2010.
- Shares reported represent an amount sold to cover the tax liabilities of the reporting person pursuant to a 10b5-1 sales instruction related (8) to a restricted stock unit (RSU) award agreement dated 12/17/2013. Acquisition of the RSU was previously reported in Table I of reporting person's Form 4 on 12/19/2013.
- Shares reported represent an amount sold to cover the tax liabilities of the reporting person pursuant to a 10b5-1 sales instruction related (9) to a restricted stock unit (RSU) award agreement dated 12/18/2012. Acquisition of the RSU was previously reported in Table I of reporting person's Form 4 on 12/20/2012.

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.

Signatures 3