CIENA CORP Form 4

December 26, 2013

# 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

#### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

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 \* Dodd James Richard JR

2. Issuer Name and Ticker or Trading Symbol

CIENA CORP [CIEN]

(Last) (First) (Middle)

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

12/23/2013

C/O CIENA CORPORATION, 1201 WINTERSON ROAD

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to

**OMB** 

Number:

Expires:

response...

Estimated average

burden hours per

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

Issuer

(Check all applicable)

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

SVP, Global Marketing

6. Individual or Joint/Group Filing(Check

Applicable Line)

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

Person

LINTHICUM,, MD 21090

(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) iomr Disposed of (D) (Instr. 3, 4 and 5)  (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)	
			Code V	Amount		Price	(Instr. 3 and 4)			
Common Stock	12/23/2013		D	1,201 (1)	D	\$ 22.2235	136,839 (2)	D		
Common Stock	12/23/2013		S	241 (3)	D	\$ 22.2246	136,598 (2)	D		
Common Stock	12/23/2013		S	677 <u>(4)</u>	D	\$ 22.2245	135,921 (2)	D		
Common Stock	12/23/2013		S	719 <u>(5)</u>	D	\$ 22.2229	135,202 (2)	D		
Common Stock	12/23/2013		S	4,794 (6)	D	\$ 22.22	130,408 (2)	D		

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

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**SEC 1474** (9-02)

> 9. Nu Deriv Secu Bene Own Follo Repo Trans (Insti

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	isable and	7. Titl	e and	8. Price of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transact	tionNumber	Expiration Da	ate	Amou	nt of	Derivative
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	) Derivative	e		Securi	ties	(Instr. 5)
	Derivative				Securities	3		(Instr.	3 and 4)	
	Security				Acquired					
					(A) or					
					Disposed					
					of (D)					
					(Instr. 3,					
	4, and 5)									
									A	
									Amount	
						Date Exercisable	Expiration Date	Title N	or	
									Number	
				G 1 1	7 (4) (5)				of	
				Code V	V (A) (D)				Shares	

# **Reporting Owners**

Relationships Reporting Owner Name / Address

> 10% Owner Officer Other Director

Dodd James Richard JR C/O CIENA CORPORATION 1201 WINTERSON ROAD LINTHICUM,, MD 21090

SVP, Global Marketing

## **Signatures**

By: Erik Lichter For: James Richard Dodd

12/26/2013

\*\*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 restricted stock unit (RSU) award agreement dated 1/1/2011. Acquisition of the RSU was previously reported in Table I of reporting person's Form 3 on 4/4/2011.
- (2) Shares reported include unvested Restricted Stock Units (RSUs) and Performance Stock Units (PSUs).
- 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 a restricted stock unit (RSU) award agreement dated 6/1/2011. Acquisition of the RSU was previously reported in Table I of reporting person's Form 4 on 6/2/2011.

Reporting Owners 2

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- 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 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 (5) 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.
- 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 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.

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.