

APPLIED OPTOELECTRONICS, INC.  
 Form 4  
 February 26, 2014

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
 Expires: January 31, 2015  
 Estimated average burden hours per response... 0.5

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 \*  
 Murry Stefan J.

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

3. Date of Earliest Transaction (Month/Day/Year)  
 02/24/2014

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

SUGAR LAND, TX 77478  
 (City) (State) (Zip)

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

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 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 | 02/24/2014                           |  | M                              | 900   | A \$ 3  | 4,130  | D                                 |
| Common Stock, \$0.001 par value | 02/24/2014                           |  | F                              | 383   | D \$ 20.67  | 3,747  | D                                 |
| Common Stock,                   | 02/24/2014                           |  | M                              | 1,833   | A \$ 4.5  | 5,580  | D                                 |

|                                 |            |   |       |   |          |        |   |
|---------------------------------|------------|---|-------|---|----------|--------|---|
| \$0.001 par value               |            |   |       |   |          |        |   |
| Common Stock, \$0.001 par value | 02/24/2014 | F | 400   | D | \$ 20.67 | 5,180  | D |
| Common Stock, \$0.001 par value | 02/24/2014 | M | 1,370 | A | \$ 4.5   | 6,550  | D |
| Common Stock, \$0.001 par value | 02/24/2014 | F | 299   | D | \$ 20.67 | 6,251  | D |
| Common Stock, \$0.001 par value | 02/24/2014 | M | 2,000 | A | \$ 6     | 8,251  | D |
| Common Stock, \$0.001 par value | 02/24/2014 | F | 581   | D | \$ 20.67 | 7,670  | D |
| Common Stock, \$0.001 par value | 02/24/2014 | M | 2,667 | A | \$ 6     | 10,337 | D |
| Common Stock, \$0.001 par value | 02/24/2014 | F | 775   | D | \$ 20.67 | 9,562  | 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)

**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, | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Security (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|--|--|---|
|--|--|--------------------------------------|--|--------------------------------|--|--|---|

and 5)

|   | Code | V      | (A)        | (D) | Date Exercisable | Expiration Date | Title                 | Amount or Number of Shares      |       |
|---|------|--------|------------|-----|------------------|-----------------|-----------------------|---------------------------------|-------|
| Non-Qualified Stock Option (Right to Buy) |      | \$ 3   | 02/24/2014 |     | M                | 900             | 06/15/2005 12/31/2014 | Common Stock, \$0.001 par value | 900   |
| Incentive Stock Option (Right to Buy)     |      | \$ 4.5 | 02/24/2014 |     | M                | 1,833           | <u>(1)</u> 07/31/2014 | Common Stock, \$0.001 par value | 1,833 |
| Incentive Stock Option (Right to Buy)     |      | \$ 4.5 | 02/24/2014 |     | M                | 1,370           | <u>(1)</u> 12/31/2014 | Common Stock, \$0.001 par value | 1,370 |
| Incentive Stock Option (Right to Buy)     |      | \$ 6   | 02/24/2014 |     | M                | 2,000           | <u>(1)</u> 10/19/2019 | Common Stock, \$0.001 par value | 2,000 |
| Incentive Stock Option (Right to Buy)     |      | \$ 6   | 02/24/2014 |     | M                | 2,667           | <u>(1)</u> 10/19/2019 | Common Stock, \$0.001 par value | 2,667 |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                        |       |
|---|---------------|-----------|------------------------|-------|
|   | Director      | 10% Owner | Officer                | Other |
| Murry Stefan J.<br>C/O APPLIED OPTOELECTRONICS, INC.<br>13115 JESS PIRTLE BLVD.<br>SUGAR LAND, TX 77478 |               |           | Chief Strategy Officer |       |

## Signatures

/s/ David C. Kuo for Stefan J. Murry

02/26/2014

\*\*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).

(1) Options 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.

Edgar Filing: APPLIED OPTOELECTRONICS, INC. - Form 4

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.