

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 \*  
 Kuo David C

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)  
 03/04/2014

\_\_\_\_ Director  
 Officer (give title below)  
 \_\_\_\_ 10% Owner  
 \_\_\_\_ Other (specify below)  
 General Counsel and Secretary

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		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)
			Code	V	Amount	(A) or (D)			
Common Stock, \$0.001 par value	03/04/2014		M		267	A	\$ 6	267	D
Common Stock, \$0.001 par value	03/04/2014		F		64	D	\$ 25.11	203	D
Common Stock,	03/04/2014		M		437	A	\$ 6	640	D

\$0.001 par value							
Common Stock, \$0.001 par value	03/04/2014	F	105	D	\$ 25.11	535	D
Common Stock, \$0.001 par value	03/04/2014	M	500	A	\$ 6	1,035	D
Common Stock, \$0.001 par value	03/04/2014	F	120	D	\$ 25.11	915	D
Common Stock, \$0.001 par value	03/04/2014	M	125	A	\$ 6	1,040	D
Common Stock, \$0.001 par value	03/04/2014	F	30	D	\$ 25.11	1,010	D
Common Stock, \$0.001 par value	03/04/2014	M	875	A	\$ 7.5	1,885	D
Common Stock, \$0.001 par value	03/04/2014	F	262	D	\$ 25.11	1,623	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.**

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(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)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Deemed Exercise Price (Instr. 3)
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(Instr. 3, 4,  
and 5)

		Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Incentive Stock Option (Right to Buy)	\$ 6					03/04/2014		Common Stock, \$0.001 par value	267
		M				267	(1) 05/29/2019		
Incentive Stock Option (Right to Buy)	\$ 6					03/04/2014		Common Stock, \$0.001 par value	437
		M				437	02/23/2014 08/23/2020		
Incentive Stock Option (Right to Buy)	\$ 6					03/04/2014		Common Stock, \$0.001 par value	500
		M				500	03/04/2014 03/04/2021		
Incentive Stock Option (Right to Buy)	\$ 6					03/04/2014		Common Stock, \$0.001 par value	125
		M				125	11/22/2013 05/22/2022		
Incentive Stock Option (Right to Buy)	\$ 7.5					03/04/2014		Common Stock, \$0.001 par value	875
		M				875	01/18/2014 01/18/2023		

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Kuo David C C/O APPLIED OPTOELECTRONICS, INC. 13115 JESS PIRTLE BLVD. SUGAR LAND, TX 77478			General Counsel and Secretary	

## Signatures

/s/ David C. Kuo 03/06/2014

\*\*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.

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