VICOR CORP Form 4

November 06, 2014

### 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 Form 5

obligations

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

may continue. See Instruction

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \* 2. Issuer Name and Ticker or Trading KELLEHER BARRY Symbol

(Middle)

VICOR CORP [vicr]

3. Date of Earliest Transaction

(Month/Day/Year) 11/05/2014

4. If Amendment, Date Original

Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

**OMB APPROVAL** 

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

Estimated average

burden hours per

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

President, Brick Business Unit

6. Individual or Joint/Group Filing(Check

Applicable Line)

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

Person

### ANDOVER, MA 01810

25 FRONTAGE ROAD

(First)

(Street)

(City)	(State)	(Zip) Tab	le I - Non-	Derivative	e Secu	rities Acqui	red, Disposed of,	or Beneficiall	y 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)			5. Amount of 6. Securities Ownership Beneficially Form: Owned Direct (D) Following or Indirect Reported (I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code V	Amount	or (D)	Price	Transaction(s) (Instr. 3 and 4)	(Instr. 4)	
Common Stock	11/05/2014		M	993	A	\$ 6.29	3,250	D	
Common Stock	11/05/2014		M	2,591	A	\$ 6.29	5,841	D	
Common Stock	11/05/2014		M	640	A	\$ 6.29	6,481	D	
Common Stock	11/05/2014		S	993	D	\$ 13.1319	5,488	D	
Common Stock	11/05/2014		S	2,591	D	\$ 13.1319	2,897	D	

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D \$ 2,257 Common 11/05/2014 S D Stock

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

Persons who respond to the collection of SEC 1474 information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(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. Transactic Code (Instr. 8)	5. Number conf Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Non Qualified Stock Option	\$ 6.29	11/05/2014		M	993	<u>(1)</u>	06/17/2023	Common Stock	993
Non Qualified Stock Option	\$ 6.29	11/05/2014		M	2,591	<u>(1)</u>	06/17/2023	Common Stock	2,591
Non Qualified Stock Option	\$ 6.29	11/05/2014		M	640	<u>(1)</u>	06/17/2023	Common Stock	640

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
KELLEHER BARRY							
25 FRONTAGE ROAD	X		President, Brick Business Unit				
ANDOVER, MA 01810							

Reporting Owners 2 Edgar Filing: VICOR CORP - Form 4

### **Signatures**

/s/Richard J. Nagel Jr. Attorney in Fact for Barry Kelleher

11/06/2014

\*\*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) Granted 6/17/2013 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan, vesting over a five year period. 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