

ANDERSON SAMUEL J

Form 4

June 25, 2018

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
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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
ANDERSON SAMUEL J

(Last) (First) (Middle)

VICOR CORPORATION, 25
FRONTAGE RD.

(Street)

ANDOVER, MA 01810

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
VICOR CORP [VICR]

3. Date of Earliest Transaction
(Month/Day/Year)
06/22/2018

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

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)
			Code	V	Amount (A) or (D)	Price	
Common Stock	06/22/2018		M		1,763	A \$ 5.67	16,986 D
Common Stock	06/22/2018		M		3,137	A \$ 6.29	20,123 D
Common Stock	06/22/2018		M		1,242	A \$ 8.05	21,365 D
Common Stock	06/22/2018		M		943	A \$ 10.61	22,308 D
Common Stock	06/22/2018		M		1,490	A \$ 13.42	23,798 D

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Common Stock 06/22/2018 M 517 A \$ 19.35 24,315 D

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

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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) (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)	8. Amount or Number of Shares
Non Qualified Stock Option	\$ 5.67	06/22/2018		M	1,763	<u>(1)</u> 06/21/2023	Common Stock	1,763
Non Qualified Stock Option	\$ 6.29	06/22/2018		M	3,137	<u>(2)</u> 06/17/2023	Common Stock	3,137
Non Qualified Stock Option	\$ 8.05	06/22/2018		M	1,242	<u>(3)</u> 06/20/2024	Common Stock	1,242
Non Qualified Stock Option	\$ 10.61	06/22/2018		M	943	<u>(4)</u> 06/17/2026	Common Stock	943
Non Qualified Stock Option	\$ 13.42	06/22/2018		M	1,490	<u>(5)</u> 06/19/2025	Common Stock	1,490
Non Qualified Stock	\$ 19.35	06/22/2018		M	517	<u>(6)</u> 06/16/2027	Common Stock	517

Option

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
ANDERSON SAMUEL J VICOR CORPORATION 25 FRONTAGE RD. ANDOVER, MA 01810	X

Signatures

/s/Kemble D. Morrison. Attorney in fact for Samuel J.
Anderson

06/25/2018

__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 on 6/21/2013 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.
- (2) Granted on 6/17/2013 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.
- (3) Granted on 6/20/2014 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.
- (4) Granted on 6/17/2016 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.
- (5) Granted on 6/19/2015 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.
- (6) Granted on 6/16/2017 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest 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.

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