

Gusinov Alex  
Form 4  
June 19, 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  
Number: 3235-0287  
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Estimated average  
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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Gusinov Alex

(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)  
05/30/2018

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)  
Corp. VP Engineering

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)
Common Stock	05/30/2018		A	172 <sup>(1)</sup>	A 172	D	
Common Stock	06/11/2018		M	2,288	A \$ 19.86	2,460	D
Common Stock	06/11/2018		S	1,417	D \$ 49.3	1,043	D

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

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information contained in this form are not  
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SEC 1474  
(9-02)

number.

**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)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Non Qualified Stock Option	\$ 19.86	05/30/2018		A		2,288		<u>(2)</u>	06/12/2018	Common Stock	2,288
Non Qualified Stock Option	\$ 11.25	05/30/2018		A		22,630		<u>(2)</u>	11/01/2020	Common Stock	22,630
Non Qualified Stock Option	\$ 12.57	05/30/2018		A		4,322		<u>(2)</u>	05/15/2022	Common Stock	4,322
Non Qualified Stock Option	\$ 17.3	05/30/2018		A		6,102		<u>(4)</u>	09/13/2023	Common Stock	6,102
Non Qualified Stock Option	\$ 8.06	05/30/2018		A		14,239		<u>(5)</u>	04/14/2024	Common Stock	14,239
Non Qualified Stock Option	\$ 12.19	05/30/2018		A		2,288		<u>(6)</u>	07/21/2024	Common Stock	2,288
Non Qualified Stock Option	\$ 19.86	06/11/2018		M		2,288		<u>(2)</u>	06/12/2018	Common Stock	2,288

## Reporting Owners

Reporting Owner Name / Address

Relationships

## Edgar Filing: Gusinov Alex - Form 4

Director      10% Owner      Officer      Other

Gusinov Alex  
VICOR CORPORATION  
25 FRONTAGE RD.  
ANDOVER, MA 01810

Corp. VP  
Engineering

## Signatures

/s/Richard J. Nagel Jr. Attorney in fact for Alex  
Gusinov

06/19/2018

\_\_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) Received in exchange for shares of Picor Corporation common stock in connection with the merger of Picor Corporation into Vicor Corporation (the "Merger").
- (2) This stock option is exercisable in full.
- (3) In the Merger, each outstanding stock option was amended to provide that it will be settled in shares of Vicor Corporation common stock, and to adjust the number of shares issuable pursuant to the Merger's exchange ratio.
- (4) This stock option becomes exercisable in five equal installments on 5/30/18, 9/13/18, 9/13/19, 9/13/20 and 9/13/21.
- (5) 11,391 stock options are exercisable at 5/30/18. The remaining 2,848 stock options become exercisable on 4/14/19.
- (6) This stock option becomes exercisable in five equal installments on 7/21/18, 7/21/19, 7/21/20, 7/21/21 and 7/21/22.

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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