

KELLEHER BARRY

Form 4

August 03, 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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response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**KELLEHER BARRY**

(Last) (First) (Middle)

**VICOR CORP., 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)

**08/01/2018**

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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	08/01/2018		M		1,242	A	\$ 8.05	3,499	D
Common Stock	08/01/2018		S		1,242	D	\$ 58.8044	2,257	D
Common Stock	08/01/2018		M		517	A	\$ 19.35	2,774	D
Common Stock	08/01/2018		S		517	D	\$ 58.8044	2,257	D
Common Stock	08/01/2018		M		943	A	\$ 10.61	3,200	D

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Common Stock	08/01/2018	S	943	D	\$ 58.8044	2,257	D
Common Stock	08/01/2018	M	745	A	\$ 13.42	3,002	D
Common Stock	08/01/2018	S	745	D	\$ 58.8044	2,257	D

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

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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, 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
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title
Non Qualified Stock Option	\$ 8.05	08/01/2018		M	1,242	<u>(1)</u>	06/20/2024	Common Stock 1,242
Non Qualified Stock Option	\$ 19.35	08/01/2018		M	517	<u>(2)</u>	06/16/2027	Common Stock 517
Non Qualified Stock Option	\$ 10.61	08/01/2018		M	943	<u>(3)</u>	06/17/2026	Common Stock 943
Non Qualified Stock Option	\$ 13.42	08/01/2018		M	745	<u>(4)</u>	06/19/2025	Common Stock 745

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
KELLEHER BARRY VICOR CORP. 25 FRONTAGE RD. ANDOVER, MA 01810		X		

## Signatures

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

08/03/2018

\_\_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 6/20/2014 under the Company's Amended and Restated 2000 Stock Option and Incentive Plan and vest over a five year period.
- (2) 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.
- (3) 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.
- (4) 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.

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.