

GRIFFIN LIAM
Form 4
August 09, 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
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
GRIFFIN LIAM

(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)

08/08/2018

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	08/08/2018		M		1,763	A	\$ 5.67	1,763	D
Common Stock	08/08/2018		S		1,763	D	\$ 62.8104	0	D
Common Stock	08/08/2018		M		854	A	\$ 6.29	854	D
Common Stock	08/08/2018		S		854	D	\$ 62.8104	0	D
Common Stock	08/08/2018		M		639	A	\$ 6.29	639	D

Edgar Filing: GRIFFIN LIAM - Form 4

Common Stock	08/08/2018	S	639	D	\$ 62.8104	0	D
Common Stock	08/08/2018	M	517	A	\$ 19.35	517	D
Common Stock	08/08/2018	S	517	D	\$ 62.8104	0	D
Common Stock	08/08/2018	M	745	A	\$ 13.42	745	D
Common Stock	08/08/2018	S	745	D	\$ 62.8104	0	D
Common Stock	08/08/2018	M	943	A	\$ 10.61	943	D
Common Stock	08/08/2018	S	943	D	\$ 62.8104	0	D
Common Stock	08/08/2018	M	1,242	A	\$ 8.05	1,242	D
Common Stock	08/08/2018	S	1,242	D	\$ 62.8104	0	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.

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
Non Qualified Stock Option	\$ 5.67	08/08/2018		M	1,763	<u>(1)</u> 06/21/2023	Common Stock	1,763
	\$ 6.29	08/08/2018		M	854	<u>(1)</u> 06/17/2023		854

Non Qualified Stock Option								Common Stock	
Non Qualified Stock Option	\$ 6.29	08/08/2018	M	639	<u>(1)</u>	06/17/2023	Common Stock	639	
Non Qualified Stock Option	\$ 19.35	08/08/2018	M	517	<u>(2)</u>	06/16/2027	Common Stock	517	
Non Qualified Stock Option	\$ 13.42	08/08/2018	M	745	<u>(3)</u>	06/19/2025	Common Stock	745	
Non Qualified Stock Option	\$ 10.61	08/08/2018	M	943	<u>(4)</u>	06/17/2026	Common Stock	943	
Non Qualified Stock Option	\$ 8.05	08/08/2018	M	1,242	<u>(5)</u>	06/20/2024	Common Stock	1,242	

Reporting Owners

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

Signatures

/s/Kemble D. Morrison. Attorney in fact for Liam K.
Griffin

08/09/2018

__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) This stock option is exercisable in full.

(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.

Edgar Filing: GRIFFIN LIAM - Form 4

- (3) 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.
- (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 6/20/2014 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.