

APPLIED OPTOELECTRONICS, INC.  
 Form 4/A  
 March 21, 2016

**FORM 4**

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
 Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0287  
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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
 Chang Hung-Lun (Fred)

2. Issuer Name and Ticker or Trading Symbol  
 APPLIED OPTOELECTRONICS, INC. [AAOI]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)  
 03/14/2016

\_\_\_ Director \_\_\_ 10% Owner  
 Officer (give title below) \_\_\_ Other (specify below)  
 \*\*\* See Remarks

C/O APPLIED OPTOELECTRONICS, INC., 13115 JESS PIRTLE BLVD.

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)  
 03/16/2016

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

SUGAR LAND, TX 77478

(City) (State) (Zip)

**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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D)  | Price   |  |                                   |
|                                 |                                      |  |                                | Code  | V   | Amount   |                                   |
| Common Stock, \$.001 par value  | 03/14/2016                           |  | M                              | 462 <sup>(1)</sup> A  | \$ 6  | 25,252   | D                                 |
| Common Stock, \$.001 par value  | 03/14/2016                           |  | M                              | 167 <sup>(1)</sup> A  | \$ 6  | 25,085   | D                                 |
| Common Stock,                   | 03/14/2016                           |  | M                              | 1,335 <sup>(1)</sup> A  | \$ 6  | 23,750   | D                                 |

\$.001 par  
value

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 |                 | 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 |
|--|--|--------------------------------------|--|--------------------------------|------------------------------------|-----------------|--|-----------------|---|-------------------------------|
|  |  |                                      |  |                                | Acquired (A)                       | Disposed of (D) | Date Exercisable   | Expiration Date |   |                               |
| Incentive Stock Option (Right to Buy)      | \$ 6   | 03/14/2016                           |  | M                              | 462<br><u>(1)</u>                  |                 | <u>(2)</u>   | 10/19/2019      | Common Stock, \$0.001 par value                               | 462                           |
| Incentive Stock Option (Right to Buy)      | \$ 6   | 03/14/2016                           |  | M                              | 167<br><u>(1)</u>                  |                 | <u>(2)</u>   | 10/19/2019      | Common Stock, \$0.001 par value                               | 167                           |
| Incentive Stock Option (Right to Buy)      | \$ 6   | 03/14/2016                           |  | M                              | 1,335<br><u>(1)</u>                |                 | <u>(2)</u>   | 08/23/2020      | Common Stock, \$0.001 par value                               | 1,335                         |

## Reporting Owners

### Reporting Owner Name / Address

### Relationships

Director    10% Owner    Officer    Other

Chang Hung-Lun (Fred)  
C/O APPLIED OPTOELECTRONICS, INC.  
13115 JESS PIRTLE BLVD.

\*\*\* See Remarks

SUGAR LAND, TX 77478

## Signatures

/s/ David C. Kuo, attorney in fact for Hung-Lun (Fred)  
Chang

03/21/2016

\_\_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) These shares were inadvertently omitted from the reporting person's Form 4 filed on March 16, 2016.
  - (2) Options fully vested.

### Remarks:

\*\*\* Senior Vice President of Optical Component Business Unit

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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