

GENDRON ROBERT

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  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
GENDRON ROBERT

(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)

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  
\_\_\_\_X\_\_\_\_ Officer (give title \_\_\_\_ Other (specify  
below) below)

Corp. VP Marketing

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_\_\_X\_\_\_\_ 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	06/11/2018		M		9,585	A	\$ 11.0921	9,585	D
Common Stock	06/11/2018		S		4,410	D	\$ 49.202	5,175	D
Common Stock	06/11/2018		M		1,017	A	\$ 12.5747	6,192	D
Common Stock	06/11/2018		S		490	D	\$ 49.202	5,702	D
Common Stock	06/13/2018		M		1,573	A	\$ 11.0921	7,275	D

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Common Stock	06/13/2018	S	721	D	\$ 47.5	6,554	D
Common Stock	06/14/2018	M	10,710	A	\$ 11.0921	17,264	D
Common Stock	06/14/2018	S	4,970	D	\$ 46.933	12,294	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 Security (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Non Qualified Stock Option	\$ 11.0921	05/30/2018		A		21,868		<u>(1)</u>	04/14/2021	Common Stock	21,868
Non Qualified Stock Option	\$ 12.5747	05/30/2018		A		1,017		<u>(1)</u>	05/15/2022	Common Stock	1,017
Non Qualified Stock Option	\$ 11.0921	06/11/2018		D			9,585	<u>(1)</u>	04/14/2021	Common Stock	9,585
Non Qualified Stock Option	\$ 12.5747	06/11/2018		D			1,017	<u>(1)</u>	05/15/2022	Common Stock	1,017
Non Qualified Stock Option	\$ 11.0921	06/13/2018		D			1,573	<u>(1)</u>	04/14/2021	Common Stock	1,573
Non	\$ 11.0921	06/14/2018		D			10,710	<u>(1)</u>	04/14/2021	Common	10,710

Qualified  
Stock  
Option

Stock

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
GENDRON ROBERT VICOR CORP. 25 FRONTAGE RD. ANDOVER, MA 01810			Corp. VP Marketing	

## Signatures

/s/Richard J. Nagel Jr. Attorney in fact for Robert  
Gendron

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) This stock option is exercisable in full.
- (2) 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.

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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