

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

OMB APPROVAL	
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1. Name and Address of Reporting Person * <u>Yeh Shu-Hua (Joshua)</u> (Last) (First) (Middle) C/O APPLIED OPTOELECTRONICS, INC. 13139 JESS PIRTLE BLVD. (Street) SUGAR LAND TX 77478 (City) (State) (Zip)	2. Issuer Name and Ticker or Trading Symbol <u>APPLIED OPTOELECTRONICS, INC. [AAOI]</u>	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner <input checked="" type="checkbox"/> Officer (give title below) Other (specify below) *** See Remarks
	3. Date of Earliest Transaction (Month/Day/Year) 01/12/2017	
4. If Amendment, Date of Original Filed (Month/Day/Year)		

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, \$.001 par value	01/12/2017		A		7,667	A	\$0.00	83,409	D	
Common Stock, \$.001 par value	01/12/2017		A		6,000	A	\$0.00	89,409	D	
Common Stock, \$.001 par value	01/12/2017		A		4,333	A	\$0.00	93,742	D	
Common Stock, \$.001 par value	01/12/2017		A		13,000	A	\$0.00	106,742	D	

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 Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Non-Qualified Stock Option (Right to buy)	\$6	01/12/2017		M			7,667	(1)	08/23/2020	Common Stock, \$0.001 par value	7,667	\$0.00	0	D	
Non-Qualified Stock Option (Right to buy)	\$6	01/12/2017		M			6,000	(1)	03/04/2021	Common Stock, \$0.001 par value	6,000	\$0.00	0	D	
Non-Qualified Stock Option (Right to buy)	\$6	01/12/2017		M			4,333	(1)	05/22/2022	Common Stock, \$0.001 par value	4,333	\$0.00	0	D	
Non-Qualified Stock Option (Right to buy)	\$6	01/12/2017		M			13,000	(2)	01/18/2023	Common Stock, \$0.001 par value	13,000	\$0.00	5,000	D	

Explanation of Responses:

- Option fully vested.
- The stock option grant vested as to 1/4th of the total number of shares on January 18, 2013 and thereafter vested and shall continue to vest as to 1/6th of the remainder of the shares in equal semiannual installments until all shares have vested.

Remarks:

*** Asia General Manager and Senior Vice President of Network Equipment Module Business Unit

/s/ David C. Kuo, attorney in fact for Shu-Hua (Joshua) Yeh 01/17/2017

** Signature of Reporting Person Date

* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.