

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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

1. Name and Address of Reporting Person* <u>Kuo David C</u> (Last) (First) (Middle) <u>C/O APPLIED OPTOELECTRONICS, INC.</u> <u>13115 JESS PIRTLE BLVD.</u> (Street) <u>SUGAR TX 77478</u> <u>LAND TX 77478</u> (City) (State) (Zip)	2. Date of Event Requiring Statement (Month/Day/Year) <u>09/25/2013</u>	3. Issuer Name and Ticker or Trading Symbol <u>APPLIED OPTOELECTRONICS, INC. [AAOI]</u>	
		4. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner <input checked="" type="checkbox"/> Officer (give title below) Other (specify below) <u>General Counsel and Secretary</u>	5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date				
Incentive Stock Option (Right to Buy)	(1)	03/09/2019	Common Stock, \$0.001 par value	267	6	D
Incentive Stock Option (Right to Buy)	(2)	08/23/2020	Common Stock, \$0.001 par value	500	6	D
Incentive Stock Option (Right to Buy)	(3)	03/04/2021	Common Stock, \$0.001 par value	667	6	D
Incentive Stock Option (Right to Buy)	(4)	05/22/2022	Common Stock, \$0.001 par value	333	6	D
Incentive Stock Option (Right to Buy)	(5)	01/18/2023	Common Stock, \$0.001 par value	3,500	7.5	D

Explanation of Responses:

- The stock option grant fully vested on March 9, 2013.
- The stock option grant vested as to 1/4th of the total number of shares on August 23, 2011 and thereafter vested and shall continue to vest as to 1/6th of the remainder of the shares in equal semi-annual installments until all shares have vested
- The stock option grant vested as to 1/4th of the total number of shares on March 4, 2012 and thereafter vested and shall continue to vest as to 1/36th of the remainder of the shares in equal monthly installments until all shares have vested.
- The stock option grant vested as to 1/4th of the total number of shares on May 22, 2013 and thereafter vested and shall continue to vest as to 1/6th of the remainder of the shares in equal semi-annual installments until all shares have vested.
- The stock option grant vests as to 1/4th of the total number of shares on January 1, 2014 and thereafter vests and shall continue to vest as to 1/6th of the remainder of the shares in equal semi-annual installments until all shares have vested.

/S/ David C. Kuo

09/25/2013

** Signature of Reporting Person

Date

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

* If the form is filed by more than one reporting person, see Instruction 5 (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.