

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>Murry Stefan J.</u> (Last) (First) (Middle) <u>C/O APPLIED OPTOELECTRONICS, INC.</u> <u>13139 JESS PIRTLE BLVD.</u> (Street) <u>SUGAR LAND TX 77478</u> (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) <u>Chief Financial Officer</u>
	3. Date of Earliest Transaction (Month/Day/Year) <u>11/16/2016</u>	
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	11/16/2016		M		5,667	A	\$6	40,760	D	
Common Stock, \$.001 par value	11/16/2016		F ⁽¹⁾		1,377	D	\$24.7	39,383	D	
Common Stock, \$.001 par value	11/16/2016		M		6,667	A	\$6	46,050	D	
Common Stock, \$.001 par value	11/16/2016		F ⁽²⁾		1,620	D	\$24.7	44,430	D	
Common Stock, \$.001 par value	11/16/2016		M		4,333	A	\$6	48,763	D	
Common Stock, \$.001 par value	11/16/2016		F ⁽³⁾		1,053	D	\$24.7	47,710	D	
Common Stock, \$.001 par value	11/17/2016		S		11,505	D	\$25.7307 ⁽⁴⁾	36,205	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
Incentive Stock Option (Right to Buy)	\$6	11/16/2016		M			5,667	(5)	08/23/2020	Common Stock, \$0.001 par value	5,667	\$0	0	D	
Incentive Stock Option (Right to Buy)	\$6	11/16/2016		M			6,667	(5)	03/04/2021	Common Stock, \$0.001 par value	6,667	\$0	0	D	
Incentive Stock Option (Right to Buy)	\$6	11/16/2016		M			4,333	(5)	05/22/2022	Common Stock, \$0.001 par value	4,333	\$0	0	D	

Explanation of Responses:

- Represents a "net exercise" of outstanding stock options. The reporting person received 4,290 shares of common stock on net exercise of option to purchase 5,667 shares of common stock. The Company withheld 1,377 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on November 15, 2016 of \$24.70, pursuant to the terms of the 2006 Stock Incentive Plan.
- Represents a "net exercise" of outstanding stock options. The reporting person received 5,047 shares of common stock on net exercise of option to purchase 6,667 shares of common stock. The Company withheld 1,620 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on November 15, 2016 of \$24.70, pursuant to the terms of the 2006 Stock Incentive Plan.
- Represents a "net exercise" of outstanding stock options. The reporting person received 3,280 shares of common stock on net exercise of option to purchase 4,333 shares of common stock. The Company withheld 1,053 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on November 15, 2016 of \$24.70, pursuant to the terms of the 2006 Stock Incentive Plan.
- The shares were sold in multiple transactions on November 17, 2016 at an actual sale price ranging from \$25.65 to \$25.79 per share. The price reported reflects the weighted average sale price for the transactions. The reporting person undertakes to provide upon request by the SEC staff, the issuer, or a security holder of the issuer, full information regarding the number of shares sold at each separate price.
- Option fully vested.

/s/ David C. Kuo, attorney in 11/18/2016
fact for Stefan J. Murry.

** 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 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.

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