FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Washington,	D.C.	20549		
J				

**OMB APPROVAL** 3235-0287 Estimated average burden

0.5

hours per response:

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

Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan for the purchase or sale of equity securities of the issuer that is intended to satisfy the affirmative defense conditions of Rule 10b5Filed 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*  BLACK RICHARD B			<u>A</u>	2. Issuer Name and Ticker or Trading Symbol APPLIED OPTOELECTRONICS, INC. [ AAOI ]									all app Direc	tor	ng Pe	10% O	wner		
(Last) (First) (Middle) C/O APPLIED OPTOELECTRONICS, INC. 13139 JESS PIRTLE BLVD.			01	3. Date of Earliest Transaction (Month/Day/Year) 01/15/2025									below			below)			
(Street) SUGAR (City)	LAND TX		7478 Zip)	_   4.	4. If Amendment, Date of Original Filed (Month/Day/Year)  6. Individual or Joint/Group Filing (Charles)  Form filed by One Reporting Form filed by More than On Person						orting Pers	son							
		Table	I - Non-Der	vativ	e S	Securi	ities	Ac	quire	d, Dis	sposed of	, or B	enefic	ially	Own	ed			
1. Title of Security (Instr. 3)  2. Transaction Date (Month/Day/Y				Execution I		tion Date,		3. Transaction Code (Instr. 8)  4. Securities Acqui Disposed Of (D) (In							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		Transa	action(s) 3 and 4)			(msu. 4)
Common	Common Stock, \$.001 par value 01/15/20.		2025	25		S		10,000(1)	D	\$28.9	8.9951 15		57,813		I	By Trust			
		Tal	ble II - Deriv (e.g.,								osed of, convertib				Owne	d			
Derivative Conversion Date Execution Security or Exercise (Month/Day/Year) if any		3A. Deemed Execution Date if any (Month/Day/Yes	Cod	Transaction Code (Instr.		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		Expiration Date St (Month/Day/Year) U U Do St 3			7. Title Amou Secur Under Deriva Secur 3 and	nt of ities lying itive ity (Instr.	8. Price of Derivativ Security (Instr. 5)		derivative Securities		Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficia Ownersh (Instr. 4)	
				Cod	de	v	(A)	(D)	Date Exer	cisable	Expiration Date	Title	Amount or Number of Shares						

## **Explanation of Responses:**

1. The shares were sold by The Richard B. Black Revocable Trust U/A Dtd. Aug 31, 1998; Richard B. Black TTEE, to which the reporting person contributed 35,745 shares of common stock on April 26, 2019, in a transaction that resulted in a change in form of beneficial ownership from direct to indirect. These sales were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on August 13, 2024. The shares were sold in multiple transactions at actual sale prices ranging from \$28.6 to \$29.37 per share. The price reported reflects the weighted average sale price for the transactions. The reporting person undertakes to provide upon request by SEC staff, the issuer, or a securityholder of the issuer, full information regarding the number of shares sold during each transaction. The shares were held by the reporting person in a revocable living trust of which the reporting person is the trustee and beneficial owner.

> /s/ David C. Kuo, attorney in fact for Richard B. Black \*\* Signature of Reporting Person

01/17/2025

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

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.