

AXCELIS TECHNOLOGIES INC

Form 4

February 08, 2017

**FORM 4**

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**BREWER KEVIN J**

(Last) (First) (Middle)

**C/O AXCELIS TECHNOLOGIES, INC., 108 CHERRY HILL DRIVE**

(Street)

**BEVERLY, MA 01915**

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
**AXCELIS TECHNOLOGIES INC [ACLS]**

3. Date of Earliest Transaction (Month/Day/Year)  
**02/06/2017**

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
**EVP & Chief Financial Officer**

6. Individual or Joint/Group Filing(Check Applicable Line)  
 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 or Price		
Common Stock	02/06/2017		M		18,478 A \$ 3.72	80,114 <sup>(1)</sup>	D
Common Stock	02/06/2017		M		31,250 A \$ 4.64	111,364	D
Common Stock	02/06/2017		S		4,500 D \$ 16.8	106,864	D
Common Stock	02/06/2017		S		300 D \$ 16.75	106,564	D
Common Stock	02/06/2017		S		300 D \$ 16.7	106,264	D

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Common Stock	02/06/2017	S	600	D	\$ 16.65	105,664	D
Common Stock	02/06/2017	S	500	D	\$ 16.6	105,164	D
Common Stock	02/06/2017	S	1,750	D	\$ 16.55	103,414	D
Common Stock	02/06/2017	S	18,066	D	\$ 16.5	85,348	D
Common Stock	02/06/2017	S	1,600	D	\$ 16.53	83,748	D
Common Stock	02/06/2017	S	100	D	\$ 16.43	83,648	D
Common Stock	02/06/2017	S	19,812	D	\$ 16.4	63,836	D
Common Stock	02/06/2017	S	2,200	D	\$ 16.45	61,636 <sup>(1)</sup>	D
Common Stock	02/07/2017	M	146	A	\$ 3.72	61,782	D
Common Stock	02/07/2017	S	146	D	\$ 16.5	61,636 <sup>(1)</sup>	D

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

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**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 Securities (Instr. 3 and 4)				
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (right to buy)	\$ 3.72	02/06/2017		M		18,478		07/16/2016	07/16/2019	Common Stock	18,478

Stock option (right to buy)	\$ 4.64	02/06/2017	M	31,250	11/16/2013	11/16/2019	Common Stock	31,250
Stock option (right to buy)	\$ 3.72	02/06/2017	M	146	07/16/2016	07/16/2019	Common Stock	146

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BREWER KEVIN J C/O AXCELIS TECHNOLOGIES, INC. 108 CHERRY HILL DRIVE BEVERLY, MA 01915			EVP & Chief Financial Officer	

## Signatures

Lynnette C. Fallon, as attorney in fact for Kevin J. Brewer

02/07/2017

\_\_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) Of the shares held as of February 6, 2017 and February 7, 2017, 40,000 were issuable on vesting of restricted stock units granted under the 2012 Equity Incentive Plan and are subject to forfeiture.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.