

APPLIED OPTOELECTRONICS, INC.

Form 8-K

November 23, 2016

**UNITED STATES**  
**SECURITIES AND EXCHANGE COMMISSION**

Washington, D. C. 20549

---

**FORM 8-K**

**CURRENT REPORT**

**Pursuant to Section 13 or 15(d) of the Securities Exchange Act of 1934**

Date of Report (Date of earliest event reported): **November 23, 2016**

---

**Applied Optoelectronics, Inc.**

(Exact name of Registrant as specified in its charter)

**Delaware**  
(State or other jurisdiction of  
incorporation)

**001-36083**  
(Commission File Number)

**76-0533927**  
(I.R.S. Employer Identification No.)

**13139 Jess Pirtle Blvd.**

**Sugar Land, TX 77478**

(address of principal executive offices and zip code)

Edgar Filing: APPLIED OPTOELECTRONICS, INC. - Form 8-K

(281) 295-1800

(Registrant's telephone number, including area code)

---

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
  
  - Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
  
  - Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
  
  - Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))
-

**Item 8.01 Other Events.**

*At the Market Offering Program Update*

Since November 14, 2016, the date Applied Optoelectronics, Inc. (the Company ) filed a prospectus supplement pursuant to Rule 424(b) under the Securities Act of 1933, as amended, to the date of this Current Report on Form 8-K, the Company has sold 1,100,000 of its common stock at an average price of \$24.85 per share under its at the market offering program, resulting in net proceeds to the Company of \$26,788,300 (net of \$546,700 in commissions). The Company intends to use the net proceeds received for general corporate purposes, which may include, among other things, debt repayment, working capital, and capital expenditures.

**SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

Applied Optoelectronics, Inc.

By: */s/ David C. Kuo*  
David C. Kuo  
General Counsel and Vice President

Date: November 23, 2016