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

## SCHEDULE 13G

(Rule 13d-102)

Under the Securities Exchange Act of 1934 (Amendment No. 2)\*

| <ul> <li>□ Rule 13d-1(b)</li> <li>☑ Rule 13d-1(c)</li> <li>□ Rule 13d-1(d)</li> <li>*The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.</li> <li>The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange</li> </ul>  | (*************************************   |
|--|--|
| (Name of Issuer)  Common stock, par value \$0.001 per share  (Title of Class of Securities)  03823U102 (CUSIP Number)  December 31, 2020  Date of Event Which Requires Filing of the Statement  Check the appropriate box to designate the rule pursuant to which this Schedule is filed:  Rule 13d-1(b) Rule 13d-1(c) Rule 13d-1(d)  *The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.  The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange |  |
| Common stock, par value \$0.001 per share  (Title of Class of Securities)  03823U102 (CUSIP Number)  December 31, 2020  Date of Event Which Requires Filing of the Statement  Check the appropriate box to designate the rule pursuant to which this Schedule is filed:  Rule 13d-1(b)  Rule 13d-1(c) Rule 13d-1(d)  *The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.  The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange                  | Applied Optoelectronics, Inc.  |
| (Title of Class of Securities)  03823U102 (CUSIP Number)  December 31, 2020  Date of Event Which Requires Filing of the Statement  Check the appropriate box to designate the rule pursuant to which this Schedule is filed:  Rule 13d-1(b)  Rule 13d-1(c) Rule 13d-1(d)  *The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.  The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange   | (Name of Issuer)   |
| O3823U102 (CUSIP Number)  December 31, 2020  Date of Event Which Requires Filing of the Statement  Check the appropriate box to designate the rule pursuant to which this Schedule is filed:  Rule 13d-1(b)  Rule 13d-1(c) Rule 13d-1(d)  *The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.  The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange   | Common stock, par value \$0.001 per share  |
| (CUSIP Number)  December 31, 2020  Date of Event Which Requires Filing of the Statement  Check the appropriate box to designate the rule pursuant to which this Schedule is filed:  Rule 13d-1(b)  Rule 13d-1(c) Rule 13d-1(d)  *The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.  The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange   | (Title of Class of Securities)   |
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| <ul> <li>□ Rule 13d-1(b)</li> <li>☑ Rule 13d-1(c)</li> <li>□ Rule 13d-1(d)</li> <li>*The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.</li> <li>The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange</li> </ul>  | Date of Event Which Requires Filing of the Statement   |
| <ul> <li>□ Rule 13d-1(b)</li> <li>☑ Rule 13d-1(c)</li> <li>□ Rule 13d-1(d)</li> <li>*The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.</li> <li>The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange</li> </ul>  |  |
| Rule 13d-1(c) Rule 13d-1(d)  *The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.  The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange  | Check the appropriate box to designate the rule pursuant to which this Schedule is filed:  |
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| *The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.  The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange   |  |
| any subsequent amendment containing information which would alter disclosures provided in a prior cover page.  The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange   | □ Rule 13d-1(d)  |
|  | *The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page.  |
|  | The information required on the remainder of this cover page shall not be deemed to be "filed" for the purpose of Section 18 of the Securities Exchange Act of 1934 ("Act") or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see the Notes). |

| CUSIP No. 03823U102         |  |   | 13G/A                     | Page 2 of 14 Pages |  |  |  |  |  |
|-----------------------------|--|---|---------------------------|--------------------|--|--|--|--|--|
|                             |  |   |                           |                    |  |  |  |  |  |
| 1.                          |  | NAME OF REPORTING PERSON                          |                           |                    |  |  |  |  |  |
|                             | S.S. OR I.R.S. ID  | S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON |                           |                    |  |  |  |  |  |
|                             | Citadal Advisors   | 110   |                           |                    |  |  |  |  |  |
| 2.                          | Citadel Advisors LLC CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP  |   |                           |                    |  |  |  |  |  |
| 2.                          | CHECK THE M  | I KOI KII   | (a)                       |                    |  |  |  |  |  |
|                             |  |   | (b) $\Box$                |                    |  |  |  |  |  |
| 3.                          | SEC USE ONLY   |   |                           |                    |  |  |  |  |  |
|                             |  |   |                           |                    |  |  |  |  |  |
| 4.                          |  |   | OF ORGANIZATION           |                    |  |  |  |  |  |
|                             | Delaware   |   | Tagar Paragraph Paragraph |                    |  |  |  |  |  |
|                             |  | 5.  | SOLE VOTING POWER  0      |                    |  |  |  |  |  |
| NILIN                       | MBER OF  |   | <u> </u>                  |                    |  |  |  |  |  |
| _                           | HARES  | 6.  | SHARED VOTING POWER       |                    |  |  |  |  |  |
| BENEFICIALLY                |  | -   | 1,763,534 shares          |                    |  |  |  |  |  |
| OWNED BY                    |  |   |                           |                    |  |  |  |  |  |
| EACH                        |  |   |                           |                    |  |  |  |  |  |
| REPORTING                   |  | 7.  | SOLE DISPOSITIVE POWER    |                    |  |  |  |  |  |
| PERSON 0                    |  |   |                           |                    |  |  |  |  |  |
| 8. SHARED DISPOSITIVE POWER |  |   |                           |                    |  |  |  |  |  |
| 0.                          |  |   | See Row 6 above           |                    |  |  |  |  |  |
| 9.                          |  |   |                           |                    |  |  |  |  |  |
|                             | See Row 6 above  |   |                           |                    |  |  |  |  |  |
|                             |  |   |                           |                    |  |  |  |  |  |
| 10.                         | CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES □ |   |                           |                    |  |  |  |  |  |
| 11                          | DEDCENIT OF CLASS DEDDESENTED BY AMOUNT IN DOW (0)                     |   |                           |                    |  |  |  |  |  |
| 11.                         | PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)                      |   |                           |                    |  |  |  |  |  |
|                             | $7.1\%^{\frac{1}{2}}$  |   |                           |                    |  |  |  |  |  |
|                             | 7.1 /0-  |   |                           |                    |  |  |  |  |  |
| 12.                         | TYPE OF REPOR  | RTING PE  | CRSON                     |                    |  |  |  |  |  |
| IA; OO; HC                  |  |   |                           |                    |  |  |  |  |  |

The percentages reported in this Schedule 13G/A are based upon approximately 24,739,780 shares of common stock outstanding comprised of (i) 22,976,246 shares of common stock outstanding as of November 2, 2020 (according to the issuer's Form 10-Q as filed with the Securities and Exchange Commission on November 5, 2020), and (ii) approximately 1,763,534 shares issuable upon conversion of certain convertible bonds issued by the Issuer to an affiliate of the Reporting Person.

| CUSIP No. 03823U102                             |   | 12                           | 13G/A                                | Page 3 of 14 Pages |  |  |  |  |  |
|---|---|------------------------------|--------------------------------------|--------------------|--|--|--|--|--|
| 1.  | NAME OF REPORTING PERSON<br>S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON |                              |                                      |                    |  |  |  |  |  |
|   | Citadel Advisor   | Citadel Advisors Holdings LP |                                      |                    |  |  |  |  |  |
| 2.  |   |                              | TE BOX IF A MEMBER OF A GROUP  (a)   |                    |  |  |  |  |  |
|   |   |                              | (a) $\Box$ (b) $\Box$                |                    |  |  |  |  |  |
| 3.  | SEC USE ONLY  | 7                            |                                      |                    |  |  |  |  |  |
| 4.  |   |                              | OF ORGANIZATION                      |                    |  |  |  |  |  |
|   | Delawar   | <b>e</b> 5.                  | SOLE VOTING POWER                    |                    |  |  |  |  |  |
|   | then or   |                              | 0                                    |                    |  |  |  |  |  |
| NUMBER OF<br>SHARES<br>BENEFICIALLY<br>OWNED BY |   | 6.                           | SHARED VOTING POWER 1,763,534 shares |                    |  |  |  |  |  |
| EACH REPORTING 7. PERSON                        |   | 7.                           | SOLE DISPOSITIVE POWER 0             |                    |  |  |  |  |  |
| 8. SHARED DISPOSITIVE POWER See Row 6 above     |   |                              |                                      |                    |  |  |  |  |  |
| 9.  | AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  See Row 6 above |                              |                                      |                    |  |  |  |  |  |
| 10.   | CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES          |                              |                                      |                    |  |  |  |  |  |
| 11.   | PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)                             |                              |                                      |                    |  |  |  |  |  |
|   | 7.1%  |                              |                                      |                    |  |  |  |  |  |
| 12.   | TYPE OF REPORTING PERSON PN; HC   |                              |                                      |                    |  |  |  |  |  |

| 1. NAME OF REPORTING PERSON S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON  Citadel GP LLC  2. CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP  (a) (b) (b) (c) (d) (d) (d) (d) (d) (d) (d) (d) (d) (d  | CUSIP No. 03823U102 |   |          | 13G/A                  | Page 4 of 14 Pages |  |  |  |  |
|---|---------------------|---|----------|------------------------|--------------------|--|--|--|--|
| S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON  Citadel GP LLC  2. CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP  (a)   | T                   |   |          |                        |                    |  |  |  |  |
| Citadel GP LLC  2. CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP  (a)  | 1.                  |   |          |                        |                    |  |  |  |  |
| 2. CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP  (a) □ (b) □  3. SEC USE ONLY  4. CITIZENSHIP OR PLACE OF ORGANIZATION  Delaware  5. SOLE VOTING POWER  0  NUMBER OF SHARES 6. SHARED VOTING POWER  BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH  8. SHARED DISPOSITIVE POWER  See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON |                     | S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON |          |                        |                    |  |  |  |  |
| 3. SEC USE ONLY  4. CITIZENSHIP OR PLACE OF ORGANIZATION  Delaware  5. SOLE VOTING POWER  0  NUMBER OF SHARES BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH  8. SHARED DISPOSITIVE POWER See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  |                     | Citadel GP LLC                                    | 3        |                        |                    |  |  |  |  |
| 3. SEC USE ONLY  4. CITIZENSHIP OR PLACE OF ORGANIZATION  Delaware  5. SOLE VOTING POWER  0  NUMBER OF SHARES 6. SHARED VOTING POWER  BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH  8. SHARED DISPOSITIVE POWER  See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON   | 2.                  | CHECK THE AI                                      | PPROPRIA |                        |                    |  |  |  |  |
| 3. SEC USE ONLY  4. CITIZENSHIP OR PLACE OF ORGANIZATION  Delaware  5. SOLE VOTING POWER  0  NUMBER OF SHARES 6. SHARED VOTING POWER BENEFICIALLY OWNED BY EACH REPORTING PERSON PERSON WITH  8. SHARED DISPOSITIVE POWER See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  |                     |   |          |                        |                    |  |  |  |  |
| Delaware  5. SOLE VOTING POWER 0  NUMBER OF SHARES 6. SHARED VOTING POWER BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH  8. SHARED DISPOSITIVE POWER See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON 9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON   | 3.                  | SEC USE ONLY                                      | •        | (6)                    |                    |  |  |  |  |
| Delaware  5. SOLE VOTING POWER 0  NUMBER OF SHARES 6. SHARED VOTING POWER BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH  8. SHARED DISPOSITIVE POWER See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON 9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON   |                     |   |          |                        |                    |  |  |  |  |
| SOLE VOTING POWER  O NUMBER OF SHARES 6. SHARED VOTING POWER BENEFICIALLY OWNED BY EACH REPORTING PERSON O WITH  8. SHARED DISPOSITIVE POWER See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  O   | 4.                  |   |          | OF ORGANIZATION        |                    |  |  |  |  |
| NUMBER OF SHARES SHARES BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH  8. SHARED DISPOSITIVE POWER See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  O  AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  |                     | Delaware  |          | COLE MOTING POLITE     |                    |  |  |  |  |
| NUMBER OF SHARES 6. SHARED VOTING POWER BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH  8. SHARED DISPOSITIVE POWER See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON   |                     |   | 5.       |                        |                    |  |  |  |  |
| SHARES BENEFICIALLY OWNED BY EACH REPORTING PERSON WITH  8. SHARED VOTING POWER  1,763,534 shares  1,763,534 shares  SOLE DISPOSITIVE POWER  0 SHARED VOTING POWER  1,763,534 shares  8. SOLE DISPOSITIVE POWER  8. SHARED DISPOSITIVE POWER See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  | NUM                 | MBER OF   |          |                        |                    |  |  |  |  |
| OWNED BY EACH REPORTING PERSON WITH  8. SHARED DISPOSITIVE POWER See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  |                     |   | 6.       |                        |                    |  |  |  |  |
| EACH REPORTING PERSON WITH  8. SHARED DISPOSITIVE POWER See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON   |                     | _   |          | 1,763,534 shares       |                    |  |  |  |  |
| REPORTING PERSON WITH  8. SHARED DISPOSITIVE POWER See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  |                     |   |          |                        |                    |  |  |  |  |
| PERSON WITH  8. SHARED DISPOSITIVE POWER See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  |                     |   | 7        | SOLE DISPOSITIVE POWER |                    |  |  |  |  |
| 8. SHARED DISPOSITIVE POWER See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON   |                     |   | , ,      |                        |                    |  |  |  |  |
| See Row 6 above.  9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON   |                     |   |          |                        |                    |  |  |  |  |
| 9. AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON   | 8.                  |   | 8.       |                        |                    |  |  |  |  |
|   |                     |   |          |                        |                    |  |  |  |  |
|   | 9.                  |   |          |                        |                    |  |  |  |  |
|   |                     |   |          |                        |                    |  |  |  |  |
| 10. CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES  | 10.                 |   |          |                        |                    |  |  |  |  |
|   |                     |   |          |                        |                    |  |  |  |  |
| 11. PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)   | 11.                 |   |          |                        |                    |  |  |  |  |
| 7.1%  |                     | 7.1%  |          |                        |                    |  |  |  |  |
|   |                     |   |          |                        |                    |  |  |  |  |
| 12. TYPE OF REPORTING PERSON  | 12.                 | TYPE OF REPO<br>OO; H                             |          | RSON                   |                    |  |  |  |  |

| CUSIP No. 03823U102 |  | 2   | 13G/A                         | Page 5 of 14 Pages |  |  |  |  |  |
|---------------------|--|---|-------------------------------|--------------------|--|--|--|--|--|
|                     |  |   |                               |                    |  |  |  |  |  |
| 1.                  | NAME OF REPORTING PERSON   |   |                               |                    |  |  |  |  |  |
|                     | S.S. OR I.R.S. II  | S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON |                               |                    |  |  |  |  |  |
|                     | C:4- d-1 C:4:  | Citadel Securities LLC                            |                               |                    |  |  |  |  |  |
| 2.                  |  |   | TE BOX IF A MEMBER OF A GROUP |                    |  |  |  |  |  |
| ۷.                  | CHECK THE AI   | PPROPRIA  | (a) $\Box$                    |                    |  |  |  |  |  |
|                     |  |   | (a) $\Box$ (b) $\Box$         |                    |  |  |  |  |  |
| 3.                  | SEC USE ONLY   | ,   | · · ·                         |                    |  |  |  |  |  |
|                     |  |   |                               |                    |  |  |  |  |  |
| 4.                  | CITIZENSHIP C  | OR PLACE  | OF ORGANIZATION               |                    |  |  |  |  |  |
|                     | Delawar  |   |                               |                    |  |  |  |  |  |
|                     |  | 5.  | SOLE VOTING POWER             |                    |  |  |  |  |  |
| 217.12              | (DED OF  |   | 0                             |                    |  |  |  |  |  |
|                     | MBER OF<br>HARES   | 6.  | SHARED VOTING POWER           |                    |  |  |  |  |  |
| _                   | FICIALLY   | 0.  | 201,573 shares                |                    |  |  |  |  |  |
| OWNED BY            |  |   | 201,575 Shares                |                    |  |  |  |  |  |
| EACH                |  |   |                               |                    |  |  |  |  |  |
| REPORTING           |  | 7.  | SOLE DISPOSITIVE POWER        |                    |  |  |  |  |  |
| PERSON              |  |   | 0                             |                    |  |  |  |  |  |
| V                   | WITH   |   |                               |                    |  |  |  |  |  |
| 8.                  |  | 8.  | SHARED DISPOSITIVE POWER      |                    |  |  |  |  |  |
|                     | See Row 6 above.   |   |                               |                    |  |  |  |  |  |
| 9.                  | AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  See Row 6 above.   |   |                               |                    |  |  |  |  |  |
|                     | See Now o above.   |   |                               |                    |  |  |  |  |  |
| 10.                 | CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES   |   |                               |                    |  |  |  |  |  |
| 10.                 | CALCAL ZOLL AND AND CONTINUE OF MICHOELE CONTINUE O |   |                               |                    |  |  |  |  |  |
| 11.                 | PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)  |   |                               |                    |  |  |  |  |  |
|                     |  |   |                               |                    |  |  |  |  |  |
|                     | 0.8%   |   |                               |                    |  |  |  |  |  |
| 12                  | TYPE OF DEDO   | DTING PE  | PROM                          |                    |  |  |  |  |  |
| 12.                 | TYPE OF REPO   | KTING PE  | KSUN                          |                    |  |  |  |  |  |
| BD, OO              |  |   |                               |                    |  |  |  |  |  |

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|---|--|---|------------------------------------|--------------------|--|--|--|--|
| 1.  | NAME OF REPORTING PERSON<br>S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON  |   |                                    |                    |  |  |  |  |
|   | CALC IV LP   |   |                                    |                    |  |  |  |  |
| 2.  | CHECK THE AI   | CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP  (a)   (b)   (b) |                                    |                    |  |  |  |  |
| 3.  | SEC USE ONLY   | 7   |                                    |                    |  |  |  |  |
| 4.  | CITIZENSHIP C<br>Delawar   |   | E OF ORGANIZATION                  |                    |  |  |  |  |
|   |  | 5.  | SOLE VOTING POWER  0               |                    |  |  |  |  |
| NUMBER OF<br>SHARES<br>BENEFICIALLY<br>OWNED BY     |  | 6.  | SHARED VOTING POWER 201,573 shares |                    |  |  |  |  |
| EACH<br>REPORTING<br>PERSON                         |  | 7.  | SOLE DISPOSITIVE POWER  0          |                    |  |  |  |  |
| WITH  8. SHARED DISPOSITIVE POWER  See Row 6 above. |  |   |                                    |                    |  |  |  |  |
| 9.  | AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  See Row 6 above. |   |                                    |                    |  |  |  |  |
| 10.   | CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES □         |   |                                    |                    |  |  |  |  |
| 11.   | PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)                              |   |                                    |                    |  |  |  |  |
|   | 0.8%   |   |                                    |                    |  |  |  |  |
| 12.   | TYPE OF REPORTING PERSON PN; HC  |   |                                    |                    |  |  |  |  |

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|---------------------|--|---|--------------------------------|--------------------|--|--|--|--|--|
|                     |  |   |                                |                    |  |  |  |  |  |
| 1.                  |  | NAME OF REPORTING PERSON                          |                                |                    |  |  |  |  |  |
|                     | 5.5. OR I.R.S. II  | S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON |                                |                    |  |  |  |  |  |
|                     | Citadel Securitie  | es GP LLC   | 3                              |                    |  |  |  |  |  |
| 2.                  | CHECK THE AI   | PPROPRIA  | ATE BOX IF A MEMBER OF A GROUP |                    |  |  |  |  |  |
|                     |  |   | (a) □<br>(b) □                 |                    |  |  |  |  |  |
| 3.                  | SEC USE ONLY   | •   | (6)                            |                    |  |  |  |  |  |
|                     |  |   |                                |                    |  |  |  |  |  |
| 4.                  |  |   | OF ORGANIZATION                |                    |  |  |  |  |  |
|                     | Delawar  |   | L cov p vyogyvia pov mp        |                    |  |  |  |  |  |
|                     |  | 5.  | SOLE VOTING POWER  0           |                    |  |  |  |  |  |
| NUN                 | MBER OF  |   | <u> </u>                       |                    |  |  |  |  |  |
| _                   | HARES  | 6.  | SHARED VOTING POWER            |                    |  |  |  |  |  |
|                     | BENEFICIALLY   |   | 201,573 shares                 |                    |  |  |  |  |  |
| OWNED BY            |  |   |                                |                    |  |  |  |  |  |
| EACH<br>REPORTING   |  | 7.  | SOLE DISPOSITIVE POWER         |                    |  |  |  |  |  |
| PERSON              |  | /.  | 0                              |                    |  |  |  |  |  |
| WITH                |  |   |                                |                    |  |  |  |  |  |
|                     |  | 8.  | SHARED DISPOSITIVE POWER       |                    |  |  |  |  |  |
| - 0                 | See Row 6 above.   |   |                                |                    |  |  |  |  |  |
| 9.                  | AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON  See Row 6 above. |   |                                |                    |  |  |  |  |  |
|                     |  |   |                                |                    |  |  |  |  |  |
| 10.                 | CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES □         |   |                                |                    |  |  |  |  |  |
|                     | DED CENT OF CLASS DEDDESENTED DV AMOUNT IN DOM/(0)                             |   |                                |                    |  |  |  |  |  |
| 11.                 | PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)                              |   |                                |                    |  |  |  |  |  |
|                     | 0.8%   |   |                                |                    |  |  |  |  |  |
| 10                  | TVDE OF DEED   | DTING PT  |                                |                    |  |  |  |  |  |
| 12.                 | TYPE OF REPO<br>OO; HC   | _   | LKSUN                          |                    |  |  |  |  |  |
| L                   | 00,110   |   |                                |                    |  |  |  |  |  |

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|------------------------------|--|----------|--------------------------------|--------------------|--|--|--|--|
|                              |  |          |                                |                    |  |  |  |  |
| 1.                           | NAME OF REPORTING PERSON   |          |                                |                    |  |  |  |  |
|                              | S.S. OR I.R.S. IDENTIFICATION NO. OF ABOVE PERSON                      |          |                                |                    |  |  |  |  |
|                              | Kenneth Griffin  | l        |                                |                    |  |  |  |  |
| 2.                           | CHECK THE AI   | PPROPRIA | ATE BOX IF A MEMBER OF A GROUP |                    |  |  |  |  |
|                              |  |          | (a) 🔲                          |                    |  |  |  |  |
|                              |  |          | (b) 🗆                          |                    |  |  |  |  |
| 3.                           | SEC USE ONLY   |          |                                |                    |  |  |  |  |
| 4.                           | CITIZENSHIP C  | R PLACE  | OF ORGANIZATION                |                    |  |  |  |  |
|                              | U.S. Citi  | zen      |                                |                    |  |  |  |  |
|                              |  | 5.       | SOLE VOTING POWER              |                    |  |  |  |  |
|                              | ADED OF  |          | 0                              |                    |  |  |  |  |
|                              | MBER OF<br>HARES   | 6.       | SHARED VOTING POWER            |                    |  |  |  |  |
|                              | BENEFICIALLY   |          | 1,965,107 shares               |                    |  |  |  |  |
| OWNED BY                     |  |          |                                |                    |  |  |  |  |
|                              | EACH   |          |                                |                    |  |  |  |  |
|                              | REPORTING  |          | SOLE DISPOSITIVE POWER         |                    |  |  |  |  |
| PERSON<br>WITH               |  |          | 0                              |                    |  |  |  |  |
| '                            | VV 1 1 1 1   | 8.       | SHARED DISPOSITIVE POWER       |                    |  |  |  |  |
|                              |  | 0.       | See Row 6 above                |                    |  |  |  |  |
| 9.                           | AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON           |          |                                |                    |  |  |  |  |
|                              | See Row 6 above  |          |                                |                    |  |  |  |  |
| 10.                          | CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES □ |          |                                |                    |  |  |  |  |
| 10.                          | CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN SHARES   |          |                                |                    |  |  |  |  |
| 11.                          | PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)                      |          |                                |                    |  |  |  |  |
|                              | 7.9%   |          |                                |                    |  |  |  |  |
|                              | 7.570  |          |                                |                    |  |  |  |  |
| 12. TYPE OF REPORTING PERSON |  |          |                                |                    |  |  |  |  |
|                              | IN; HC   |          |                                |                    |  |  |  |  |

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#### Item 1(a) Name of Issuer

Applied Optoelectronics, Inc.

#### Item 1(b) Address of Issuer's Principal Executive Offices

13139 Jess Pirtle Blvd., Sugar Land, TX 77478

#### Item 2(a) Name of Person Filing

This Schedule 13G/A is being jointly filed by Citadel Advisors LLC ("Citadel Advisors"), Citadel Advisors Holdings LP ("CAH"), Citadel GP LLC ("CGP"), Citadel Securities LLC ("Citadel Securities"), CALC IV LP ("CALC4"), Citadel Securities GP LLC ("CSGP") and Mr. Kenneth Griffin (collectively with Citadel Advisors, CAH, CGP, Citadel Securities, CALC4 and CSGP, the "Reporting Persons") with respect to shares of common stock (and options and other securities exercisable for, or convertible into, common stock) of the above-named issuer owned by Citadel Equity Fund Ltd., a Cayman Islands limited company ("CEFL") and Citadel Securities.

Citadel Advisors is the portfolio manager for CEFL. CAH is the sole member of Citadel Advisors. CGP is the general partner of CAH. CALC4 is the non-member manager of Citadel Securities. CSGP is the general partner of CALC4. Mr. Griffin is the President and Chief Executive Officer of CGP, and owns a controlling interest in CGP and CSGP.

The filing of this statement shall not be construed as an admission that any of the Reporting Persons is the beneficial owner of any securities covered by the statement other than the securities actually owned by such person (if any).

#### Item 2(b) Address of Principal Business Office

The address of the principal business office of each of the Reporting Persons is 131 S. Dearborn Street, 32nd Floor, Chicago, Illinois 60603.

#### Item 2(c) Citizenship

Each of Citadel Advisors, CGP, Citadel Securities and CSGP is organized as a limited liability company under the laws of the State of Delaware. Each of CALC4 and CAH is organized as a limited partnership under the laws of the State of Delaware. Mr. Griffin is a U.S. citizen.

#### Item 2(d) Title of Class of Securities

Common stock, par value \$0.001 per share

### Item 2(e) CUSIP Number

03823U102

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|--------|------------|--------------|---|-----------------------------|
| Item 3 | If this s  | statement is | filed pursuant to Rules 13d-1(b), or 13d-2(b) or (c), check wheth | ner the person filing is a: |
|        | (a)        |              | roker or dealer registered under Section 15 of the Eychange Act   |                             |

| CIII J | 11 11115  | catemen  | t is then pursuant to Rules 150-1(0), or 150-2(0) or (c), theck whether the person fining is a.                                   |
|--------|-----------|----------|---|
|        | (a)       |          | Broker or dealer registered under Section 15 of the Exchange Act;   |
|        | (b)       |          | Bank as defined in Section 3(a)(6) of the Exchange Act;   |
|        | (c)       |          | Insurance company as defined in Section 3(a)(19) of the Exchange Act;   |
|        | (d)       |          | Investment company registered under Section 8 of the Investment Company Act;  |
|        | (e)       |          | An investment adviser in accordance with Rule 13d-1(b)(1)(ii)(E);   |
|        | (f)       |          | An employee benefit plan or endowment fund in accordance with Rule 13d-1(b)(1)(ii)(F);  |
|        | (g)       |          | A parent holding company or control person in accordance with Rule 13d-1(b)(1)(ii)(G);  |
|        | (h)       |          | A savings association as defined in Section 3(b) of the Federal Deposit Insurance Act;  |
|        | (i)       |          | A church plan that is excluded from the definition of an investment company under Section 3(c)(14) of the Investment Company Act; |
|        | (j)       |          | A non-U.S. institution in accordance with Rule 13d-1(b)(1)(ii)(J);  |
|        | (k)       |          | Group, in accordance with Rule 13d-1(b)(1)(ii)(K).  |
|        | If filing | as a non | -U.S. institution in accordance with Rule 13d-1(b)(1)(ii)(J), please specify the type of institution:                             |

#### Item 4 Ownership

#### A. Citadel Advisors LLC

- (a) Citadel Advisors may be deemed to beneficially own 1,763,534 shares of common stock.
- (b) The number of shares that Citadel Advisors may be deemed to beneficially own constitutes approximately 7.1% of the common stock outstanding.
- (c) Number of shares as to which such person has:
  - (i) sole power to vote or to direct the vote: 0
  - (ii) shared power to vote or to direct the vote: 1,763,534
  - (iii) sole power to dispose or to direct the disposition of: 0
  - (iv) shared power to dispose or to direct the disposition of: 1,763,534
- B. Citadel Advisors Holdings LP and Citadel GP LLC
  - (a) Each of Citadel Advisors Holdings LP and Citadel GP LLC may be deemed to beneficially own 1,763,534 shares of common stock.
  - (b) The number of shares that each of Citadel Advisors Holdings LP and Citadel GP LLC may be deemed to beneficially own constitutes approximately 7.1% of the common stock outstanding.
  - (c) Number of shares as to which such person has:
    - (i) sole power to vote or to direct the vote: 0
    - (ii) shared power to vote or to direct the vote: 1,763,534
    - (iii) sole power to dispose or to direct the disposition of: 0
    - (iv) shared power to dispose or to direct the disposition of: 1,763,534

#### C. Citadel Securities LLC

- (a) Citadel Securities LLC may be deemed to beneficially own 201,573 shares of common stock.
- (b) The number of shares that Citadel Securities LLC may be deemed to beneficially own constitutes approximately 0.8% of the common stock outstanding.

- (c) Number of shares as to which such person has:
  - (i) sole power to vote or to direct the vote: 0
  - (ii) shared power to vote or to direct the vote: 201,573
  - (iii) sole power to dispose or to direct the disposition of: 0
  - (iv) shared power to dispose or to direct the disposition of: 201,573

#### D. CALC IV LP and Citadel Securities GP LLC

- (a) Each of CALC IV LP and Citadel Securities GP LLC may be deemed to beneficially own 201,573 shares of common stock.
- (b) The number of shares that each of CALC IV LP and Citadel Securities GP LLC may be deemed to beneficially own constitutes approximately 0.8% of the common stock outstanding.
- (c) Number of shares as to which such person has:
  - (i) sole power to vote or to direct the vote: 0
  - (ii) shared power to vote or to direct the vote: 201,573
  - (iii) sole power to dispose or to direct the disposition of: 0
  - (iv) shared power to dispose or to direct the disposition of: 201,573

#### E. Kenneth Griffin

- (a) Mr. Griffin may be deemed to beneficially own 1,965,107 shares of common stock.
- (b) The number of shares that Mr. Griffin may be deemed to beneficially own constitutes approximately 7.9% of the common stock outstanding.
- (c) Number of shares as to which such person has:
  - (i) sole power to vote or to direct the vote: 0
  - (ii) shared power to vote or to direct the vote: 1,965,107
  - (iii) sole power to dispose or to direct the disposition of: 0
  - (iv) shared power to dispose or to direct the disposition of: 1,965,107

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#### Item 5 Ownership of Five Percent or Less of a Class

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than 5 percent of the class of securities, check the following  $\Box$ .

#### Item 6 Ownership of More than Five Percent on Behalf of Another Person

Not Applicable

Item 7 Identification and Classification of the Subsidiary which Acquired the Security Being Reported on by the Parent Holding

Company

See Item 2 above

Item 8 Identification and Classification of Members of the Group

Not Applicable

Item 9 Notice of Dissolution of Group

Not Applicable

Item 10 Certification

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect.

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|---|
|---|

After reasonable inquiry and to the best of its knowledge and belief, the undersigned certify that the information set forth in this statement is true, complete and correct.

Dated this 16<sup>th</sup> day of February, 2021.

#### CITADEL SECURITIES LLC

By: /s/ Guy Miller

Guy Miller, Authorized Signatory

CALC IV LP

By: /s/ Guy Miller

Guy Miller, Authorized Signatory

CITADEL SECURITIES GP LLC

By: /s/ Guy Miller

Guy Miller, Authorized Signatory

#### CITADEL ADVISORS LLC

By: /s/ Gregory Johnson

Gregory Johnson, Authorized Signatory

#### CITADEL ADVISORS HOLDINGS LP

By: /s/ Gregory Johnson

Gregory Johnson, Authorized Signatory

#### CITADEL GP LLC

By: /s/ Gregory Johnson

Gregory Johnson, Authorized Signatory

#### KENNETH GRIFFIN

By: /s/ Gregory Johnson

Gregory Johnson, attorney-in-fact\*

<sup>\*</sup> Gregory Johnson is signing on behalf of Kenneth Griffin as attorney-in-fact pursuant to a power of attorney previously filed with the Securities and Exchange Commission, and hereby incorporated by reference herein. The power of attorney was filed as an attachment to a filing by Citadel Advisors LLC on Schedule 13G for Jaws Acquisition Corp. on February 1, 2021.

#### JOINT FILING AGREEMENT

The undersigned hereby agree that the Statement on Schedule 13G/A filed herewith (and any amendments thereto), relating to the common stock of Applied Optoelectronics, Inc., a Delaware corporation, is being filed jointly with the Securities and Exchange Commission pursuant to Rule 13d-1(c) under the Securities Exchange Act of 1934, as amended, on behalf of each of the undersigned.

This Agreement may be executed in counterparts and each of such counterparts taken together shall constitute one and the same instrument.

Dated this 16<sup>th</sup> day of February, 2021.

| CITADEL SECURITIES LLC                              | CITADEL ADVISORS LLC  |
|---|---|
| By: /s/ Guy Miller Guy Miller, Authorized Signatory | By: /s/ Gregory Johnson Gregory Johnson, Authorized Signatory |
| CALC IV LP  | CITADEL ADVISORS HOLDINGS LP                                  |
| By: /s/ Guy Miller Guy Miller, Authorized Signatory | By: /s/ Gregory Johnson Gregory Johnson, Authorized Signatory |
| CITADEL SECURITIES GP LLC                           | CITADEL GP LLC  |
| By: /s/ Guy Miller Guy Miller, Authorized Signatory | By: /s/ Gregory Johnson Gregory Johnson, Authorized Signatory |
|   | KENNETH GRIFFIN   |
|   | By: /s/ Gregory Johnson Gregory Johnson, attorney-in-fact*    |

<sup>\*</sup> Gregory Johnson is signing on behalf of Kenneth Griffin as attorney-in-fact pursuant to a power of attorney previously filed with the Securities and Exchange Commission, and hereby incorporated by reference herein. The power of attorney was filed as an attachment to a filing by Citadel Advisors LLC on Schedule 13G for Jaws Acquisition Corp. on February 1, 2021.