

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	
OMB Number:	3235-0287
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1. Name and Address of Reporting Person* <u>Kang Juen-Sheng (Andrew)</u> (Last) (First) (Middle) <u>C/O APPLIED OPTOELECTRONICS, INC.</u> <u>13115 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) <input checked="" type="checkbox"/> Director 10% Owner Officer (give title below) Other (specify below)
	3. Date of Earliest Transaction (Month/Day/Year) <u>10/01/2013</u>	
		6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> 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	(A) or (D)	Price			
Common Stock, \$0.001 par value	10/01/2013		C		57,452	A	(1)	57,452	I	By Techgains Global Corporation ⁽⁷⁾
Common Stock, \$0.001 par value	10/01/2013		C		16,904	A	(2)	16,904	I	By Techgains Global Corporation ⁽⁷⁾
Common Stock, \$0.001 par value	10/01/2013		C		6,748	A	(3)	6,748	I	By Techgains Global Corporation ⁽⁷⁾
Common Stock, \$0.001 par value	10/01/2013		C		83,757	A	(4)	83,757	I	By Techgains Global Corporation ⁽⁷⁾
Common Stock, \$0.001 par value	10/01/2013		C		34,245	A	(5)	34,245	I	By Techgains Global Corporation ⁽⁷⁾
Common Stock, \$0.001 par value	10/01/2013		C		45,004	A	(3)	45,004	I	By Techgains Pacific Century Fund ⁽⁷⁾
Common Stock, \$0.001 par value	10/01/2013		C		87,070	A	(4)	87,070	I	By Techgains Pacific Century Fund ⁽⁷⁾
Common Stock, \$0.001 par value	10/01/2013		C		23,809	A	(5)	23,809	I	By Techgains Pacific Century Fund ⁽⁷⁾
Common Stock, \$0.001 par value	10/01/2013		C		60,717	A	(6)	60,717	I	By Techgains Pan Pacific Corporation ⁽⁷⁾
Common Stock, \$0.001 par value	10/01/2013		C		107,828	A	(1)	107,828	I	By Techgains Pan Pacific Corporation ⁽⁷⁾
Common Stock, \$0.001 par value	10/01/2013		C		16,904	A	(2)	16,904	I	By Techgains Pan Pacific Corporation ⁽⁷⁾
Common Stock, \$0.001 par value	10/01/2013		C		15,751	A	(3)	15,751	I	By Techgains Pan Pacific Corporation ⁽⁷⁾
Common Stock, \$0.001 par value	10/01/2013		C		143,359	A	(4)	143,359	I	By Techgains Pan Pacific Corporation ⁽⁷⁾

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			Code	V	Amount	(A) or (D)	Price			
Common Stock, \$0.001 par value	10/01/2013		C		53,293	A	(5)	53,293	I	By Techgains Pan Pacific Corporation ⁽⁷⁾
Common Stock, \$0.001 par value	10/01/2013		C		19,047	A	(5)	19,047	I	By Technology Associates Management Company Ltd. ⁽⁷⁾

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)				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	Amount or Number of Shares				
Series C Convertible Preferred Stock	(1)	10/01/2013		C			24,864	(1)	(1)	Common Stock, \$0.001 par value	57,452	(1)	0	I	By Techgains Global Corporation ⁽⁷⁾
Series D Convertible Preferred Stock	(2)	10/01/2013		C			6,666	(2)	(2)	Common Stock, \$0.001 par value	16,904	(2)	0	I	By Techgains Global Corporation ⁽⁷⁾
Series E Convertible Preferred Stock	(3)	10/01/2013		C			1,865	(3)	(3)	Common Stock, \$0.001 par value	6,748	(3)	0	I	By Techgains Global Corporation ⁽⁷⁾
Series F Convertible Preferred Stock	(4)	10/01/2013		C			69,797	(4)	(4)	Common Stock, \$0.001 par value	83,757	(4)	0	I	By Techgains Global Corporation ⁽⁷⁾
Series G Convertible Preferred Stock	(5)	10/01/2013		C			34,245	(5)	(5)	Common Stock, \$0.001 par value	34,245	(5)	0	I	By Techgains Global Corporation ⁽⁷⁾
Series E Convertible Preferred Stock	(3)	10/01/2013		C			12,437	(3)	(3)	Common Stock, \$0.001 par value	45,004	(3)	0	I	By Techgains Pacific Century Fund ⁽⁷⁾
Series F Convertible Preferred Stock	(4)	10/01/2013		C			72,558	(4)	(4)	Common Stock, \$0.001 par value	87,070	(4)	0	I	By Techgains Pacific Century Fund ⁽⁷⁾
Series G Convertible Preferred Stock	(5)	10/01/2013		C			23,809	(5)	(5)	Common Stock, \$0.001 par value	23,809	(5)	0	I	By Techgains Pacific Century Fund ⁽⁷⁾
Series A Convertible Preferred Stock	(6)	10/01/2013		C			19,135	(6)	(6)	Common Stock, \$0.001 par value	60,717	(6)	0	I	By Techgains Pan Pacific Corporation ⁽⁷⁾
Series C Convertible Preferred Stock	(1)	10/01/2013		C			46,666	(1)	(1)	Common Stock, \$0.001 par value	107,828	(1)	0	I	By Techgains Pan Pacific Corporation ⁽⁷⁾
Series D Convertible Preferred Stock	(2)	10/01/2013		C			6,666	(2)	(2)	Common Stock, \$0.001 par value	16,904	(2)	0	I	By Techgains Pan Pacific Corporation ⁽⁷⁾
Series E Convertible Preferred Stock	(3)	10/01/2013		C			4,353	(3)	(3)	Common Stock, \$0.001 par value	15,751	(3)	0	I	By Techgains Pan Pacific Corporation ⁽⁷⁾
Series F Convertible Preferred Stock	(4)	10/01/2013		C			119,464	(4)	(4)	Common Stock, \$0.001 par value	143,359	(4)	0	I	By Techgains Pan Pacific Corporation ⁽⁷⁾
Series G Convertible Preferred Stock	(5)	10/01/2013		C			53,293	(5)	(5)	Common Stock, \$0.001 par value	53,293	(5)	0	I	By Techgains Pan Pacific Corporation ⁽⁷⁾

**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	Amount or Number of Shares				
Series G Convertible Preferred Stock	(5)	10/01/2013		C			19,047	(5)	(5)	Common Stock, \$0.001 par value	19,047	(5)	0	I	By Technology Associates Management Company Ltd. (7)

Explanation of Responses:

- Each share of Series C Convertible Preferred Stock converted into 2.310651 shares of the Issuer's common stock upon completion of the Issuer's initial public offering.
- Each share of Series D Convertible Preferred Stock converted into 2.535960 shares of the Issuer's common stock upon completion of the Issuer's initial public offering.
- Each share of Series E Convertible Preferred Stock converted into 3.618590 shares of the Issuer's common stock upon completion of the Issuer's initial public offering.
- Each share of Series F Convertible Preferred Stock converted into 1.200019 shares of the Issuer's common stock upon completion of the Issuer's initial public offering.
- Each share of Series G Convertible Preferred Stock converted into 1 share of the Issuer's common stock upon completion of the Issuer's initial public offering.
- Each share of Series A Convertible Preferred Stock converted into 3.173126 shares of the Issuer's common stock upon completion of the Issuer's initial public offering.
- The reporting person disclaims any and all pecuniary interests and beneficial ownership interests of these securities, and this report shall not be deemed an admission that the reporting person is the beneficial owner of such securities for purposes of Section 16 or for any other purpose.

/s/ David C. Kuo for Juen-Sheng (Andrew) Kang 10/02/2013

** 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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