

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>Kuo David C</u> (Last) (First) (Middle) <u>C/O APPLIED OPTOELECTRONICS, INC.</u> <u>13139 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) Director 10% Owner <input checked="" type="checkbox"/> Officer (give title below) Other (specify below) <u>General Counsel and Secretary</u>
	3. Date of Earliest Transaction (Month/Day/Year) <u>11/14/2016</u>	
	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> 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, \$.001 par value	11/14/2016		M		63	A	\$6	14,739	D	
Common Stock, \$.001 par value	11/14/2016		F ⁽¹⁾		16	D	\$24.6	14,723	D	
Common Stock, \$.001 par value	11/14/2016		M		167	A	\$6	14,890	D	
Common Stock, \$.001 par value	11/14/2016		F ⁽²⁾		41	D	\$24.6	14,849	D	
Common Stock, \$.001 par value	11/14/2016		M		208	A	\$6	15,057	D	
Common Stock, \$.001 par value	11/14/2016		F ⁽³⁾		51	D	\$24.6	15,006	D	
Common Stock, \$.001 par value	11/14/2016		M		2,187	A	\$7.5	17,193	D	
Common Stock, \$.001 par value	11/14/2016		F ⁽⁴⁾		658	D	\$24.6	16,535	D	
Common Stock, \$.001 par value	11/14/2016		M		3,037	A	\$9.96	19,572	D	
Common Stock, \$.001 par value	11/14/2016		F ⁽⁵⁾		1,212	D	\$24.6	18,360	D	
Common Stock, \$.001 par value	11/14/2016		M		1,500	A	\$13.84	19,860	D	
Common Stock, \$.001 par value	11/14/2016		F ⁽⁶⁾		832	D	\$24.6	19,028	D	

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
Incentive Stock Option (Right to Buy)	\$6	11/14/2016		M			63	(7)	08/23/2020	Common Stock, \$0.001 par value	63	\$0	0	D	
Incentive Stock Option (Right to Buy)	\$6	11/14/2016		M			167	(7)	03/04/2021	Common Stock, \$0.001 par value	167	\$0	0	D	
Incentive Stock Option (Right to Buy)	\$6	11/14/2016		M			208	(7)	05/22/2022	Common Stock, \$0.001 par value	208	\$0	0	D	

**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
Incentive Stock Option (Right to Buy)	\$7.5	11/14/2016		M			2,187	01/18/2014	01/18/2023	Common Stock, \$0.001 par value	2,187	\$0	438	D	
Incentive Stock Option (Right to Buy)	\$9.96	11/14/2016		M			3,037	09/26/2014	09/26/2023	Common Stock, \$0.001 par value	3,037	\$0	1,013	D	
Incentive Stock Option (Right to Buy)	\$13.84	11/14/2016		M			1,500	01/28/2015	01/28/2024	Common Stock, \$0.001 par value	1,500	\$0	900	D	

Explanation of Responses:

1. Represents a "net exercise" of outstanding stock options. The reporting person received 47 shares of common stock on net exercise of option to purchase 63 shares of common stock. The Company withheld 16 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on November 14, 2016 of \$24.60, pursuant to the terms of the 2006 Stock Incentive Plan.
2. Represents a "net exercise" of outstanding stock options. The reporting person received 126 shares of common stock on net exercise of option to purchase 167 shares of common stock. The Company withheld 41 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on November 14, 2016 of \$24.60, pursuant to the terms of the 2006 Stock Incentive Plan.
3. Represents a "net exercise" of outstanding stock options. The reporting person received 157 shares of common stock on net exercise of option to purchase 208 shares of common stock. The Company withheld 51 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on November 14, 2016 of \$24.60, pursuant to the terms of the 2006 Stock Incentive Plan.
4. Represents a "net exercise" of outstanding stock options. The reporting person received 1,529 shares of common stock on net exercise of option to purchase 2,187 shares of common stock. The Company withheld 658 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on November 14, 2016 of \$24.60, pursuant to the terms of the 2006 Stock Incentive Plan.
5. Represents a "net exercise" of outstanding stock options. The reporting person received 1,825 shares of common stock on net exercise of option to purchase 3,037 shares of common stock. The Company withheld 1,212 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on November 14, 2016 of \$24.60, pursuant to the terms of the 2013 Equity Incentive Plan.
6. Represents a "net exercise" of outstanding stock options. The reporting person received 668 shares of common stock on net exercise of option to purchase 1,500 shares of common stock. The Company withheld 832 shares of common stock underlying the option for payment of the exercise price and tax withholdings, using the closing stock price on November 14, 2016 of \$24.60, pursuant to the terms of the 2013 Equity Incentive Plan.
7. Option fully vested.

/s/ David C. Kuo

11/16/2016

** 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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