SEC Form 4
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## FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

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 Estimated average burden hours per response: 0.5

1. Name and Addre		Person*	2. Issuer Name <b>and</b> Ticker or Trading Symbol VICOR CORP [ vicr ]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)							
KELLEHER	BARRY		<u> </u>	X Director 10% Owner							
(Last) 25 FRONTAGE	(First) E ROAD	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 06/21/2013	X Officer (give title Other (specify below) below) President, Brick Business Unit							
(Street) ANDOVER	MA	01810	4. If Amendment, Date of Original Filed (Month/Day/Year) 06/25/2013	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting							
(City)	(State)	(Zip)		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. Transa Code ( 8)		4. Securities Disposed Of 5)			5. Amount of Securities Beneficially Owned Following Reported	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	Transaction(s) (Instr. 3 and 4)		

 

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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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)	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		(Instr. 4)		
Non Qualified Stock Option	\$5.67	06/21/2013		A		1,764 <sup>(1)</sup>		06/21/2014	06/21/2023	Common Stock	1,764	\$0	100,000 <sup>(2)</sup>	D	

### Explanation of Responses:

1. The reporting person is filing this amendment to report the correct amount of options acquired on June 21, 2013. In a Form 4/A filed on October 20, 2014, the reporting person amended the original Form 4 of June 25, 2013, which reflected the acquisition of options to purchase 8,819 shares pursuant to the Company's Amended and Restated 2000 Stock Option and Incentive Plan (the "Plan"), indicating that none of the options were validly granted. However, the Company subsequently determined options to purchase 1,764 shares were validly granted on June 21, 2013.

2. On the Form 4/A filed on October 20, 2014, the amended number of derivative Securities Beneficially Owned of 100,000 (Table II, Box 9) is correct and is not the subject of this amendment. As previously disclosed, the Company determined, subsequent to the filing by the reporting person of the Form 4 of June 25, 2013, that options to purchase 69,514 shares, in aggregate and including the 7,055 shares that are the subject of this amendment, were not validly granted during 2013, pursuant to the Plan, because the grants exceeded the limit on the number of options that may be granted to any individual participant within any calendar year. Accordingly, the attempted grant of these excess options was ineffective, and they were never granted to the reporting person.

/s/Kemble D. Morrison,

10/24/2014

<u>Attorney in fact for Barry</u> <u>Kelleher</u>

\*\* Signature of Reporting Person Date

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

 $\star$  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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