SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL 3235-0287 OMB Number:

Estimated average burden hours per response: 0.5

				Section 30(h) of the I									
1. Name and Addre			2. Issuer Name and Ticker or Trading Symbol <u>VICOR CORP</u> [vicr]						5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
	<u>iuuio</u>								X	Director	10% C		
(Last) (First) (Middle)				ate of Earliest Trans	action (Month	/Day/Year)	X	Officer (give title below)	Other below)	(specify		
25 FRONTAGE	ROAD	05/	12/2020					Corp. Vic	e President				
(Street)				Amendment, Date o	of Origin	al File	d (Month/Day	6. Indi Line)	6. Individual or Joint/Group Filing (Check Applicable Line)				
ANDOVER	MA	01810								Form filed by One Reporting Person			
(City)	(State)	(Zip)								Form filed by Mon Person	e than One Rep	orting	
		Table I - No	on-Derivative	Securities Ac	quirec	l, Dis	sposed of,	or Be	neficially	Owned			
Date		2. Transaction Date (Month/Day/Year)	Execution Date, Transaction			4. Securities Acquired (A) o Disposed Of (D) (Instr. 3, 4			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)			

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Common Stock	05/12/2020		М		5,104	Α	\$11.2534	39,738	D		
Common Stock ⁽¹⁾	05/12/2020		S		2,815	D	\$54.292	36,923	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. Transa Code (8)				6. Date Exerc Expiration Da (Month/Day/Y	ate	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				
Non Qualified stock option	\$11.2534	05/12/2020		М			5,104	(2)	11/01/2020	Common Stock	5,104	\$0	0	D	

Explanation of Responses:

1. This transaction involved the exercise of non-qualified stock options, the terms of which provided for the purchase of shares of common stock possessing multi-year restrictions on their sale or transfer. As such, the exercise followed the sell-to-cover process, whereby a portion of the shares acquired through the exercise were sold in the open market, with the proceeds used to fund the aggregate exercise price of the options and the income and employment taxes associated with the exercise. The balance of the shares acquired through exercise that were delivered to the reporting person are subject to holding periods through the fifth anniversary of the date of this transaction.

2. This stock option is exercisable in full.

/s/Richard J. Nagel Jr. Attorney 05/12/2020 in fact for Claudio Tuozzolo

** 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.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

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