## 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

| l | OMB APPRC              | OVAL      |  |  |  |  |  |
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| ľ | OMB Number:            | 3235-0287 |  |  |  |  |  |
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|                                |         |                     | or economic of the investment company ration for                              |  |  |  |  |  |  |
|--------------------------------|---------|---------------------|---|--|--|--|--|--|--|
| 1. Name and Add<br>Gusinov Ale |         | Person <sup>*</sup> | 2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>VICOR CORP</u> [ vicr ] | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable) |  |  |  |  |  |
|                                |         |                     |   | Director 10% Owner   |  |  |  |  |  |
| (l. aat)                       | (First) | (Middle)            | 3. Date of Earliest Transaction (Month/Day/Year)                              | X Officer (give title Other (specify below) below)                         |  |  |  |  |  |
| (Last)<br>25 FRONTAG           | (First) | (Middle)            | 09/14/2020  | Corp. Vice President Eng.  |  |  |  |  |  |
| 25 FRONTAG                     | E KD.   |                     |   |  |  |  |  |  |  |
| (Street)                       |         |                     | 4. If Amendment, Date of Original Filed (Month/Day/Year)                      | 6. Individual or Joint/Group Filing (Check Applicable Line)                |  |  |  |  |  |
| ANDOVER                        | MA      | 01810               |   | X Form filed by One Reporting Person                                       |  |  |  |  |  |
|                                |         |                     | —   | Form filed by More than One Reporting<br>Person                            |  |  |  |  |  |
| (City)                         | (State) | (Zip)               |   |  |  |  |  |  |  |

#### Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 3.<br>Transa<br>Code (<br>8) |   | 4. Securities Acquired (A) or<br>Disposed Of (D) (Instr. 3, 4 and 5) |               |           | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership |
|---------------------------------|--|---|------------------------------|---|--|---------------|-----------|---|---|---|
|                                 |  |   | Code                         | v | Amount   | (A) or<br>(D) | Price     | Transaction(s)<br>(Instr. 3 and 4)  |   | (Instr. 4)  |
| Common Stock                    | 09/14/2020                                 |   | М                            |   | 1,222  | A             | \$17.3038 | 19,860  | D   |   |
| Common Stock <sup>(1)</sup>     | 09/14/2020                                 |   | S                            |   | 669  | D             | \$82.5    | 19,191  | D   |   |
| Common Stock                    | 09/14/2020                                 |   | М                            |   | 458  | Α             | \$12.1913 | 19,649  | D   |   |
| Common Stock <sup>(1)</sup>     | 09/14/2020                                 |   | S                            |   | 234  | D             | \$82.5    | 19,415  | D   |   |

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | 5. Number<br>of Expiration Dat<br>Derivatives<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3, 4<br>and 5) |       | Date Amount of      |                    | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |   |  |
|---|---|--|---|------------------------------|---|---|-------|---------------------|--------------------|---|--|--|--|---|--|
|   |   |  |   | Code                         | v | (A)   | (D)   | Date<br>Exercisable | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares   |  |  |   |  |
| Non<br>Qualified<br>Stock<br>Option                 | \$17.3038   | 09/14/2020                                 |   | М                            |   |   | 1,222 | (2)                 | 09/13/2023         | Common<br>Stock                                     | 1,222  | \$0  | 1,220  | D |  |
| Non<br>Qualified<br>Stock<br>Option                 | \$12.1913   | 09/14/2020                                 |   | М                            |   |   | 458   | (3)                 | 07/21/2024         | Common<br>Stock                                     | 458  | \$0  | 914  | 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. The remaining 1,220 stock options vest on 9/13/2021.

3. The remaining 914 stock options vest on 7/21/2021 and 7/21/2022.

/s/Richard J. Nagel Jr. Attorney 09/16/2020

in fact for Alex Gusinov

\*\* 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.