SEC Form 4

П

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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

	ress of Reporting	Person [*]	2. Issuer Name and Ticker or Trading Symbol VICOR CORP [vicr]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)						
<u>Tuozzolo C</u>	laudio		<u> </u>	X	Director	10% Owner					
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 03/01/2021	X	Officer (give title below)	Other (specify below)					
25 FRONTAC	E ROAD		05/01/2021		Corp. Vice President						
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indi Line)	6. Individual or Joint/Group Filing (Check Applicable Line)						
ANDOVER	MA	01810		X	X Form filed by One Reporting Person						
(City)	(State)	(Zip)			Form filed by More th Person	an One Reporting					
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)		Transaction Disposed Of (D) (Instr. 3, 4 and 5) Code (Instr.		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)		(1150. 4)
Common Stock	03/01/2021		М		3,726	A	\$13.42	57,207	D	
Common Stock	03/01/2021		S		3,726	D	\$101.5366	53,481	D	
Common Stock	03/01/2021		М		3,771	Α	\$10.61	57,252	D	
Common Stock	03/01/2021		S		3,771	D	\$101.5366	53,481	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/1	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	\$13.42	03/01/2021		М			3,726	(1)	06/19/2025	Common Stock	3,726	\$0	0	D		
Non Qualified Stock Option	\$10.61	03/01/2021		М			3,771	(1)	06/17/2026	Common Stock	3,771	\$0	942	D		

Explanation of Responses:

1. This stock option is exercisable in full.

/s/Richard J. Nagel Jr. Attorney 03/02/2021

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.