

AXCELIS TECHNOLOGIES INC

Form 4

May 11, 2017

**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 OF  
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,  
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section  
30(h) of the Investment Company Act of 1940

## OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**PUMA MARY G**

(Last) (First) (Middle)

**C/O AXCELIS TECHNOLOGIES,  
INC., 108 CHERRY HILL DRIVE**

(Street)

**BEVERLY, MA 01915**

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
**AXCELIS TECHNOLOGIES INC  
[ACLS]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**05/09/2017**

4. If Amendment, Date Original  
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

☐ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify below)  
**President and CEO**

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
☒ Form filed by One Reporting Person  
☐ 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 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)
Common Stock	05/09/2017		M	46,598	A \$ 2.8	240,684 <sup>(1)</sup>	D
Common Stock	05/09/2017		S	46,598	D \$ 21.09 <sup>(2)</sup>	194,086 <sup>(1)</sup>	D
Common Stock	05/10/2017		M	15,902	A \$ 2.8	209,988	D
Common Stock	05/10/2017		M	62,500	A \$ 3.72	272,488	D
	05/10/2017		S	78,402	D	194,086 <sup>(1)</sup>	D

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Common Stock						\$ 21.05 (3)			
Common Stock	05/11/2017		M	62,500	A	\$ 4.64	256,686	D	
Common Stock	05/11/2017		S	62,500	D	\$ 21.01 (4)	194,086 (1)	D	
Common Stock							5,000	I	Held by Spouse

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

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SEC 1474  
(9-02)

**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 Underlying Securities (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (right to buy)	\$ 2.8	05/09/2017		M		46,598		11/17/2012	11/17/2018	Common Stock	46,598
Stock option (right to buy)	\$ 2.8	05/10/2017		M		15,902		11/17/2012	11/17/2018	Common Stock	15,902
Stock option (right to buy)	\$ 3.72	05/10/2017		M		62,500		07/16/2016	07/16/2019	Common Stock	62,500
Stock option (right to buy)	\$ 4.64	05/11/2017		M		62,500		11/16/2013	11/16/2019	Common Stock	62,500

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
PUMA MARY G C/O AXCELIS TECHNOLOGIES, INC. 108 CHERRY HILL DRIVE BEVERLY, MA 01915	X		President and CEO	

## Signatures

Lynnette C. Fallon, as attorney in fact for Mary G.  
Puma

05/11/2017

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

\* 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).

- (1) Of the shares held as of May 9, 10 and 11, 2017, 75,000 were issuable on vesting of restricted stock units granted under the 2012 Equity Incentive Plan and are subject to forfeiture.

The price reported in Column 4 is a weighted-average price. These shares were sold in multiple transactions at prices ranging from \$21.00 to \$21.45, inclusive. The reporting person undertakes to provide to Axcelis Technologies, Inc., any security holder of Axcelis Technologies, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price.

- (2) The price reported in Column 4 is a weighted-average price. These shares were sold in multiple transactions at prices ranging from \$21.00 to \$21.40, inclusive. The reporting person undertakes to provide to Axcelis Technologies, Inc., any security holder of Axcelis Technologies, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price.

- (3) The price reported in Column 4 is a weighted-average price. These shares were sold in multiple transactions at prices ranging from \$21.00 to \$21.10, inclusive. The reporting person undertakes to provide to Axcelis Technologies, Inc., any security holder of Axcelis Technologies, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares purchased at each separate price.

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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