

AXCELIS TECHNOLOGIES INC

Form 4

February 08, 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 *
BREWER KEVIN J

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
C/O AXCELIS TECHNOLOGIES,
INC., 108 CHERRY HILL DRIVE

3. Date of Earliest Transaction
(Month/Day/Year)
02/06/2017

____ Director ____ 10% Owner
☒ Officer (give title below) ____ Other (specify below)
EVP & Chief Financial Officer

(Street)
BEVERLY, MA 01915

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
____ Form filed by More than One Reporting
Person

(City) (State) (Zip)

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)
			Code	V	Amount (A) or (D)	Price	
Common Stock	02/06/2017		M		18,478	A \$ 3.72	80,114 ⁽¹⁾ D
Common Stock	02/06/2017		M		31,250	A \$ 4.64	111,364 D
Common Stock	02/06/2017		S		4,500	D \$ 16.8	106,864 D
Common Stock	02/06/2017		S		300	D \$ 16.75	106,564 D
Common Stock	02/06/2017		S		300	D \$ 16.7	106,264 D

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Common Stock	02/06/2017	S	600	D	\$ 16.65	105,664	D
Common Stock	02/06/2017	S	500	D	\$ 16.6	105,164	D
Common Stock	02/06/2017	S	1,750	D	\$ 16.55	103,414	D
Common Stock	02/06/2017	S	18,066	D	\$ 16.5	85,348	D
Common Stock	02/06/2017	S	1,600	D	\$ 16.53	83,748	D
Common Stock	02/06/2017	S	100	D	\$ 16.43	83,648	D
Common Stock	02/06/2017	S	19,812	D	\$ 16.4	63,836	D
Common Stock	02/06/2017	S	2,200	D	\$ 16.45	61,636 ⁽¹⁾	D
Common Stock	02/07/2017	M	146	A	\$ 3.72	61,782	D
Common Stock	02/07/2017	S	146	D	\$ 16.5	61,636 ⁽¹⁾	D

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

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(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)	\$ 3.72	02/06/2017		M		18,478		07/16/2016	07/16/2019	Common Stock	18,478

Stock option (right to buy)	\$ 4.64	02/06/2017	M	31,250	11/16/2013	11/16/2019	Common Stock	31,250
Stock option (right to buy)	\$ 3.72	02/06/2017	M	146	07/16/2016	07/16/2019	Common Stock	146

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BREWER KEVIN J C/O AXCELIS TECHNOLOGIES, INC. 108 CHERRY HILL DRIVE BEVERLY, MA 01915			EVP & Chief Financial Officer	

Signatures

Lynnette C. Fallon, as attorney in fact for Kevin J. Brewer

02/07/2017

__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 February 6, 2017 and February 7, 2017, 40,000 were issuable on vesting of restricted stock units granted under the 2012 Equity Incentive Plan and are subject to forfeiture.

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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