

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

OMB  
Number: 3235-0287  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Bintz William J

(Last) (First) (Middle)

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  
\_\_\_\_X\_\_\_\_ Officer (give title below) \_\_\_\_ Other (specify below)

EVP, Product Development

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_\_\_\_X\_\_\_\_ 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 (A) 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	35,250 A \$ 6.4	78,417 <sup>(1)</sup>	D	
Common Stock	05/09/2017		M	25,992 A \$ 6.4	104,409	D	
Common Stock	05/09/2017		M	2,331 A \$ 7.2	106,740	D	
Common Stock	05/09/2017		S	63,573 D \$ 21.07 <sup>(2)</sup>	43,167 <sup>(1)</sup>	D	
Common Stock	05/10/2017		M	22,669 A \$ 7.2	65,836	D	

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Common Stock      05/10/2017      S      22,669      D      \$ 21      43,167 <sup>(1)</sup>      D

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)	\$ 6.4	05/09/2017		M		35,250		07/15/2014	07/15/2020	Common Stock	35,250
Stock option (right to buy)	\$ 6.4	05/09/2017		M		25,992		07/15/2015	07/15/2021	Common Stock	25,992
Stock option (right to buy)	\$ 7.2	05/09/2017		M		2,331		07/15/2016	07/15/2021	Common Stock	2,331
Stock option (right to buy)	\$ 7.2	05/10/2017		M		22,669		07/15/2016	07/15/2021	Common Stock	22,669

## Reporting Owners

### Reporting Owner Name / Address

### Relationships

Director      10% Owner      Officer      Other

Bintz William J  
108 CHERRY HILL DRIVE  
BEVERLY, MA 01915

EVP, Product Development

## Signatures

Lynnette C. Fallon, as attorney in fact for William  
Bintz

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 and May 10, 2017, 20,455 were issuable on vesting of restricted stock units granted under the 2012 Equity Incentive Plan and are subject to forfeiture.

- (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 \$21.65, 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) 50,000 options were granted on July 15, 2014 and were vested as to 50% of the options as of May 9, 2017. Of the remaining 47,669 options held by the executive after the sales on that date, 22,669 were vested, and 12,500 will vest on each of July 15, 2017 and July 15, 2018, if the officer remains in the service of the Company on such vesting dates.

- (4) 50,000 options were granted on July 15, 2014 and were vested as to 50% of the options as of May 10, 2017. Of the remaining 25,000 options held by the executive after the sales on that date, 12,500 will vest on each of July 15, 2017 and July 15, 2018, if the officer remains in the service of the Company on such vesting dates.

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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