

Bauer Kevin S
Form 3
February 05, 2018

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF 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

(Print or Type Responses)

1. Name and Address of Reporting Person *

^ Bauer Kevin S
(Last) (First) (Middle)

980 ROCK AVE.
(Street)

SAN JOSE, CA 95131

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)
01/30/2018

3. Issuer Name and Ticker or Trading Symbol
Super Micro Computer, Inc. [SMCI]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
Chief Financial Officer

5. 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

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities Beneficially Owned
(Instr. 4)

3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership
(Instr. 5)

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

SEC 1473 (7-02)

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

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and Expiration Date
(Month/Day/Year)

Date Exercisable Expiration Date

3. Title and Amount of Securities Underlying Derivative Security
(Instr. 4)

Title Amount or Number of Shares

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)
or Indirect (I)
(Instr. 5)

6. Nature of Indirect Beneficial Ownership
(Instr. 5)

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Stock Option (right to buy)	Â <u>(1)</u>	01/25/2027	Common Stock	8,030	\$ 28.45	D	Â
Stock Option (right to buy)	Â <u>(1)</u>	01/25/2027	Common Stock	21,970	\$ 28.45	D	Â
Stock Option (right to buy)	Â <u>(2)</u>	01/25/2027	Common Stock	8,000	\$ 28.45	D	Â
Stock Option (right to buy)	Â <u>(2)</u>	01/25/2027	Common Stock	42,000	\$ 28.45	D	Â
Restricted Stock Units	Â <u>(3)</u>	Â <u>(3)</u>	Common Stock	15,000	\$ <u>(4)</u>	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Bauer Kevin S 980 ROCK AVE. SAN JOSE, CA 95131	Â	Â	Â Chief Financial Officer	Â

Signatures

Kevin S. Bauer, Reporting Person 02/05/2018

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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) The vesting commencement date is January 11, 2017. The option is exercisable at the rate of 1/4th of the shares on the first anniversary of the vesting commencement date and 1/16th at the end of each successive calendar quarter thereafter.

(2) The vesting commencement date is January 11, 2017. The option is exercisable at the rate of 1/5th of the shares on the first anniversary of the vesting commencement date and 1/20th at the end of each successive calendar quarter thereafter.

(3) Subject to the Reporting Person's continued service to the Issuer, the restricted stock units vest at the rate of 25% of the total number of units on February 16, 2018 and 1/16th at the end of each successive calendar quarter thereafter. Vested units are settled in shares of SMCI common stock.

(4) Each restricted stock unit represents a contingent right to receive one share of SMCI common stock.

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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