

LU KEH SHEW
Form 4
February 06, 2019

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
LU KEH SHEW

2. Issuer Name and Ticker or Trading Symbol
DIODES INC /DEL/ [DIOD]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
4949 HEDGCOXE ROAD, SUITE 200

3. Date of Earliest Transaction (Month/Day/Year)
02/04/2019

Director 10% Owner
 Officer (give title below) Other (specify below)
President & CEO

(Street)
PLANO, TX 75024

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 (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) |
|----------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount | (A) or (D) | Price |
| Diodes Incorporated Common Stock | 02/04/2019 | | M ⁽¹⁾ | | 24,000 | A | \$ 15.05 |
| Diodes Incorporated Common Stock | 02/04/2019 | | S ⁽²⁾ | | 7,086 | D | \$ 34.64 |
| Diodes Incorporated Common Stock | 02/04/2019 | | S ⁽²⁾ | | 7,091 | D | \$ 34.35 |

Edgar Filing: LU KEH SHEW - Form 4

| | | | | | | | | |
|--|------------|------------------------|--------|---|----------|-----------------------|---|--------------------------|
| Diodes Incorporated Common Stock | 02/04/2019 | <u>S⁽²⁾</u> | 7,082 | D | \$ 34.8 | 580,307 | D | |
| Diodes Incorporated Common Stock | 02/05/2019 | <u>M⁽¹⁾</u> | 8,000 | A | \$ 15.05 | 588,307 | D | |
| Diodes Incorporated Common Stock | 02/05/2019 | <u>S⁽²⁾</u> | 7,078 | D | \$ 35.07 | 581,229 | D | |
| Diodes Incorporated Common Stock | 02/06/2019 | <u>M⁽¹⁾</u> | 16,000 | A | \$ 19.28 | 597,229 | D | |
| Diodes Incorporated Common Stock | 02/06/2019 | <u>S⁽²⁾</u> | 7,237 | D | \$ 36.5 | 589,992 | D | |
| Diodes Incorporated Common Stock | 02/06/2019 | <u>S⁽²⁾</u> | 7,230 | D | \$ 36.8 | 582,762 | D | |
| Diodes Incorporated Common Stock | | | | | | 46,150 ⁽³⁾ | I | Custodial |
| Diodes Incorporated Common Stock | | | | | | 700,000 | I | Lu Grandchildren's Trust |
| Diodes Incorporated Common Stock - Performance Stock Units | | | | | | 125,905 | D | |

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

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 control number.

SEC 1474
(9-02)

Edgar Filing: LU KEH SHEW - Form 4

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 Security (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title |
| 05/28/09 DIOD NQSO | \$ 15.05 | 02/04/2019 | | M ⁽¹⁾ | 24,000 | 05/28/2010 ⁽⁴⁾ 05/28/2019 | Diodes Incorporated Common Stock - Diodes |
| 05/28/09 DIOD NQSO | \$ 15.05 | 02/05/2019 | | M ⁽¹⁾ | 8,000 | 05/28/2010 ⁽⁴⁾ 05/28/2019 | Diodes Incorporated Common Stock - Diodes |
| 05/24/2010 DIOD NQSO | \$ 19.28 | 02/06/2019 | | M ⁽¹⁾ | 16,000 | 05/24/2011 ⁽⁵⁾ 05/24/2020 | Diodes Incorporated Common Stock - Diodes |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-----------------|-------|
| | Director | 10% Owner | Officer | Other |
| LU KEH SHEW 4949 HEDGCOXE ROAD SUITE 200 PLANO, TX 75024 | X | | President & CEO | |

Signatures

Richard D. White as Power of Attorney for
Keh-Shew Lu 02/06/2019

**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).

Edgar Filing: LU KEH SHEW - Form 4

- (1) Exercised under a 10b5-1 plan.
- (2) Sold under a 10b5-1 plan.

These shares are held in accounts for the reporting persons minor grandchildren and the reporting person is the custodian of those

- (3) accounts. The reporting person disclaims ownership of the shares held in those custodial accounts, and this report is not an admission that the reporting person is the beneficial owner of these shares for purposes of Section 16 or for any other purposes.
- (4) Non-qualified stock options exercisable in four equal annual installments beginning 05/28/2010.
- (5) Non-qualified stock options exercisable in four equal annual installments beginning 05/24/2011.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.