SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

I I. Marie and Address of Reporting Feison		Person*	2. Issuer Name and Ticker or Trading Symbol <u>DIODES INC /DEL/</u> [DIOD]	(Chec	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
					Director	10% Owner			
			—		Officer (give title	Other (specify			
		(Middle)	3. Date of Earliest Transaction (Month/Day/Year)	^	below)	below)			
			05/18/2020		President & CEO				
4949 HEDG	CUAE KUAD								
SUITE 200									
			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indi	vidual or Joint/Group Fili	ing (Check Applicable			
(Street)				Line)		5 (· · · · · · · · · · · · · · · · · ·			
PLANO	ТХ	75024		X	Form filed by One Re	porting Person			
PLANO	17	73024			Form filed by More th	an One Reporting			
			—		Person	an one reporting			
(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. Transa Code (8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following	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	Reported Transaction(s) (Instr. 3 and 4)			
Diodes Incorporated Common Stock	05/18/2020		G ⁽¹⁾		13,000	D	\$0.00	567,587	D		
Diodes Incorporated Common Stock ⁽²⁾	05/18/2020		A		6,750	A	\$0.00 ⁽³⁾	574,337	D		
Diodes Incorporated Common Stock	05/18/2020		G ⁽¹⁾		13,000	A	\$0.00	33,000	I	The Lu Family Foundation	
Diodes Incorporated Common Stock								46,150 ⁽⁴⁾	Ι	Custodial	
Diodes Incorporated Common Stock								700,000	I	Lu Grandchildren's Trust	
Diodes Incorporated Common Stock								4,700	I	The Lu 2017 Irrevocable Trust	
Diodes Incorporated Common Stock - Performance Stock Units								251,818	D		

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. Transa Code (8)		of		6. Date Exerc Expiration Da (Month/Day/Y	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares					

Explanation of Responses:

1. These shares were gifted from the reporting person's direct holdings to The Lu Family Foundation, a non profit foundation and indirect holding.

2. Restricted stock units vest in four equal installments beginning 05/18/2021.

3. Granted under Rule 16b-3 Plan.

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

Remarks:

Richard D. White as Power of 05/19/2020

Attorney for Keh-Shew Lu

** Signature of Reporting Person Date

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

* 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).

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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