

# **FINISAR CORP**

Reported by  
**SWANSON TODD**

## **FORM 4**

(Statement of Changes in Beneficial Ownership)

Filed 08/17/17 for the Period Ending 08/15/17

|             |   |
|-------------|---|
| Address     | 1389 MOFFETT PARK DR<br>SUNNYVALE, CA 94089 |
| Telephone   | 4085481000                                  |
| CIK         | 0001094739                                  |
| Symbol      | FNSR  |
| SIC Code    | 3674 - Semiconductors and Related Devices   |
| Industry    | Communications & Networking                 |
| Sector      | Technology                                  |
| Fiscal Year | 05/03                                       |

# 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 OF SECURITIES

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

|   |         |          |   |  |  |   |  |  |
|---|---------|----------|---|--|--|---|--|--|
| 1. Name and Address of Reporting Person * |         |          | 2. Issuer Name and Ticker or Trading Symbol       |  |  | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)  |  |  |
| <b>Swanson Todd</b>                       |         |          | <b>FINISAR CORP [ FNSR ]</b>                      |  |  | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner<br><input checked="" type="checkbox"/> Officer (give title below) <input type="checkbox"/> Other (specify below)<br><b>EVP Sales / Marketing / R&amp;D</b> |  |  |
| (Last)                                    | (First) | (Middle) | 3. Date of Earliest Transaction (MM/DD/YYYY)      |  |  | 6. Individual or Joint/Group Filing (Check Applicable Line)   |  |  |
| <b>1389 MOFFETT PARK DRIVE</b>            |         |          | <b>8/15/2017</b>                                  |  |  |   |  |  |
| (Street)                                  |         |          | 4. If Amendment, Date Original Filed (MM/DD/YYYY) |  |  | <input checked="" type="checkbox"/> Form filed by One Reporting Person<br><input type="checkbox"/> Form filed by More than One Reporting Person   |  |  |
| <b>SUNNYVALE, CA 94089-1134</b>           |         |          |   |  |  |   |  |  |
| (City) (State) (Zip)                      |         |          |   |  |  |   |  |  |

### Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security<br>(Instr. 3) | 2. Trans. Date | 2A. Deemed<br>Execution<br>Date, if any | 3. Trans. Code<br>(Instr. 8) |   | 4. Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) |               |         | 5. Amount of Securities Beneficially Owned<br>Following Reported Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr.<br>4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|------------------------------------|----------------|---|------------------------------|---|---|---------------|---------|---|---|---|
|                                    |                |   | Code                         | V | Amount  | (A) or<br>(D) | Price   |   |   |   |
| Common Stock                       | 8/15/2017      |   | M                            |   | 1264  | A             | \$8.29  | 217005  | D   |   |
| Common Stock                       | 8/15/2017      |   | S (1)                        |   | 6202  | D             | \$24.34 | 210803  | D   |   |

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

| 1. Title of Derivate<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Trans.<br>Date | 3A. Deemed<br>Execution<br>Date, if any | 4. Trans. Code<br>(Instr. 8) |   | 5. Number of<br>Derivative Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) |     | 6. Date Exercisable and<br>Expiration Date |                    | 7. Title and Amount of<br>Securities Underlying<br>Derivative Security<br>(Instr. 3 and 4) |                                  | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10. Ownership<br>Form of<br>Derivative<br>Security:<br>Direct (D)<br>or Indirect<br>(I) (Instr.<br>4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|--|--|-------------------|---|------------------------------|---|--|-----|--|--------------------|--|----------------------------------|---|--|---|--|
|  |  |                   |   | Code                         | V | (A)  | (D) | Date<br>Exercisable                        | Expiration<br>Date | Title  | Amount or<br>Number of<br>Shares |   |  |   |  |
| Stock Option<br>(Right to Buy)                 | \$8.29   | 8/15/2017         |   | M                            |   | 1264   |     | 12/8/2011                                  | 12/8/2019          | Common<br>Stock  | 1264.0                           | \$0   | 31086  | D   |  |

#### Explanation of Responses:

(1) Shares were sold pursuant to a Rule 10b5-1 Stock Trading Plan adopted by the reporting person on June 21, 2016.

#### Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |  |       |
|--|---------------|-----------|--|-------|
|  | Director      | 10% Owner | Officer                                | Other |
| <b>Swanson Todd</b><br><b>1389 MOFFETT PARK DRIVE</b><br><b>SUNNYVALE, CA 94089-1134</b> |               |           | <b>EVP Sales / Marketing / R&amp;D</b> |       |

#### Signatures

/s/ Christopher Brown as Attorney-in-fact for

8/17/2017

\*\*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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