SEC Form 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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obligations may continue. See
Instruction 1(b).

FORM 4

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

1. Name and Address of Reporting Person* SMITH GARY B			2. Issuer Name and Ticker or Trading Symbol <u>CIENA CORP</u> [CIEN]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
	<u>1 D</u>			X	Director	10% Owner			
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year)	X	Officer (give title below)	Other (specify below)			
C/O CIENA CORPORATION			11/22/2019	President, CEO					
7035 RIDGE RD).								
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	Line)	idual or Joint/Group Filing (C				
HANOVER	MD	21076-1426		X	Form filed by One Report Form filed by More than C Person	0			
(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)		Disposed Of	4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following Reported	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	Transaction(s) (Instr. 3 and 4)		(1130.4)
Common Stock	11/22/2019		S		1,875(1)	D	\$36.9802 ⁽²⁾	425,346 ⁽³⁾	D	
Common Stock	11/25/2019		S		1,875(1)	D	\$ 37.3849 ⁽⁴⁾	423,471 ⁽³⁾	D	

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

			(3,1	,			,	• •			,				
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 Deriv Secur Acqu (A) or Dispo of (D) (Instr	5. Number of Expiration Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		ate	e Amount of		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (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. Sales were effected pursuant to Rule 10b5-1 trading plan dated 9/13/19.

2. Reflects the weighted average sales price with transactions in a range of sales from \$36.66 to \$37.155. Upon request by the SEC, full information regarding the number of shares sold at each separate sales price will be provided.

3. Shares reported include unvested Restricted Stock Units (RSUs) and Performance Stock Units (PSUs).

4. Reflects the weighted average sales price with transactions in a range of sales from \$37.15 to \$37.52. Upon request by the SEC, full information regarding the number of shares sold at each separate sales price will be provided.

<u>By: Erik Lichter For: Gary B.</u> Smith

** Signature of Reporting Person

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.

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 Number.

<u>11/26/2019</u>

Date