SEC Form 4

FORM 4

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

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OMB APPROVAL

OMB Number:	3235-0287								
Estimated average burden									
hours per response:	0.5								

Instruction 1(b).		Filed	pursuant to Section 16(a) of the Securities Exchange Act of 1934	1	<u> </u>	nours per respo	onse:	0.5
			or Section 30(h) of the Investment Company Act of 1940					
1. Name and Addre	ess of Reporting Perso	on*	2. Issuer Name and Ticker or Trading Symbol <u>CIENA CORP</u> [CIEN]		ationship of Re k all applicable	eporting Person le)		
<u>Switti GAI</u>		1		X	Director		10% Owne	er
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year)	X	Officer (give below)	'e title	Other (spe below)	cify
C/O CIENA CO	RPORATION		08/19/2020		President, CEO			
7035 RIDGE R	D.							
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	/idual or Joint	t/Group Filing (Check Appl	icable
(Street) HANOVER	MD	21076-1426		X	Form filed L	by One Reporti	ing Person	
						by More than C	One Reportir	ng
(City)	(State)	(Zip)			Person			

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)					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)	(1150. 4)	(1150.4)
Common Stock	08/19/2020		S		4,250(1)	D	\$59.9561 ⁽²⁾	356,452 ⁽³⁾	D	
Common Stock	08/20/2020		S		4,250(1)	D	\$59.9974 ⁽⁴⁾	352,202 ⁽³⁾	D	

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

I															
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 E		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)	Ownership Form: Direct (D)	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 \$59.455 to \$60.215. 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 \$59.78 to \$60.16. Upon request by the SEC, full information regarding the number of shares sold at each separate sales price will be provided.

By: Michelle Rankin For: Gary B Smith

08/20/2020

** 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.

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.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).