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

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Estimated average burden									
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Instruction 1(b).		Filed	pursuant to Section 16(a) of the Securities Exchange Act of 1934	hours per response: 0.5				
			or Section 30(h) of the Investment Company Act of 1940					
	ess of Reporting Pers	son [*]	2. Issuer Name and Ticker or Trading Symbol CIENA CORP [CIEN]		tionship of F all applicab	Reporting Person(s) to Issuer ble)		
SMITH GAI	<u> </u>			X	Director		10% Owner	
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year)	x	Officer (giv below)	ve title	Other (specify below)	
C/O CIENA CO	()	(06/10/2020		Р	President, CEO		
7035 RIDGE R	D.			1				
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)				
(Street) HANOVER MD 21076-1426				X	Form filed	by One Reporting Person		
		21070-1420			Form filed by More than One Rep Person		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 Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)	(1150.4)	(Instr. 4)
Common Stock	06/10/2020		S		4,250(1)	D	\$54.8576 ⁽²⁾	410,764 ⁽³⁾	D	
Common Stock	06/11/2020		S		4,250(1)	D	\$ 53.1224 ⁽⁴⁾	406,514 ⁽³⁾	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 Deriv Secu Acqu (A) of Dispo of (D) (Instr	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		xpiration Date Amount of			Derivative du Security Si (Instr. 5) B O Fe R T	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	Ownership	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 \$54.44 to \$55.26. 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 \$52.32 to \$53.57. Upon request by the SEC, full information regarding the number of shares sold at each separate sales price will be provided.

<u>By: Michelle Rankin For:</u> <u>Gary B Smith</u>

06/12/2020

** 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)