SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

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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. Date of Ev Johnsen Karl E (Month/Day/) 10/01/2015 10/01/2015 | | | | ment | 3. Issuer Name and Ticker or Trading Symbol <u>ASPEN TECHNOLOGY INC /DE/</u> [AZPN] | | | | | | | |
|--|-----------------|------------|--|--------------------|---|---|--|-----------------------------------|--|--|---|--|
| (Last) (First) (Middle) C/O ASPEN TECHNOLOGY, INC. | | | | | | tionship of Reporting Pers all applicable) Director | son(s) to Issuer 10% Owner | | 5. If Amendment, Date of Original Filed (Month/Day/Year) | | | |
| 20 CROSBY DRIVE | | | | | X | Officer (give title below) | Other (specify below) | | 6. Individual or Joint/Group Filing (Check Applicable Line) | | | |
| (Street) | | | | | Senior Vice President and CFO | | | | X Form filed by One Reporting Person | | | |
| BEDFORD | MA | 01730 | | | | | | | | Form filed by Reporting P | y More than One erson | |
| (City) | (State) | (Zip) | | | | | | | | | | |
| Table I - Non-Derivative Securities Beneficially Owned | | | | | | | | | | | | |
| 1. Title of Security (Instr. 4) | | | | | 2. Amount of Securities Beneficially Owned (Instr. 4) | | | | 4. Nature of Indirect Beneficial Ownership (Instr. 5) | | | |
| Common Stock | | | | | 4,942 | | D | | | | | |
| Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) | | | | | | | | | | | | |
| 1. Title of Derivative Security (Instr. 4) | | | 2. Date Exercisable and Expiration Date (Month/Day/Year) | | 3. Title and Amount of Securi Underlying Derivative Securit | | y (Instr. 4) Conve or Exe | | ion Ov | 5. Ownership Form: Direct (D) | 6. Nature of Indirect Beneficial Ownership (Instr. 5) | |
| | | | Date Exercisable | Expiratior Date | n Title | | Amount or Number of Shares | Price of Derivativ Security | ∕e ∣or | irect (D) Indirect (Instr. 5) | | |
| Employee Sto | ck Option (Rigl | nt to Buy) | (1) | 11/24/2023 | 3 | Common Stock | 1,451 | 38.71 | L | D | | |
| Employee Sto | ck Option (Righ | nt to Buy) | (2) | 07/31/2024 | 4 | Common Stock | 1,870 | 43.44 | 1 | D | | |
| Employee Sto | ck Option (Righ | nt to Buy) | (3) | 08/02/2025 | 5 | Common Stock | 2,471 | 44.38 | 3 | D | | |

Explanation of Responses:

1. The option granted at an exercise price of \$38.71 vests in 16 consecutive equal quarterly installments on the last business day of the quarter, beginning on March 31, 2014.

2. The option granted at the exercise price of \$43.44 vests in 16 consecutive equal quarterly installments on the last business day of the quarter, beginning on September 30, 2014.

3. The option granted at the exercise price of \$44.38 vests in 16 consecutive equal quarterly installments on the last business day of the quarter, beginning on September 30, 2015.

/s/ Karl E. Johnsen 10/01/2015 ** 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 5 (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.