

FUSCO MARK
Form 4
November 14, 2012

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, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
FUSCO MARK

2. Issuer Name and Ticker or Trading Symbol
ASPEN TECHNOLOGY INC /DE/
[AZPN]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
ASPEN TECHNOLOGY, INC., 200
WHEELER ROAD

3. Date of Earliest Transaction
(Month/Day/Year)
11/09/2012

____ Director
____ Officer (give title below)
____ 10% Owner
____ Other (specify below)
President & CEO

(Street)
BURLINGTON, MA 01803

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
X Form filed by One Reporting Person
___ Form filed by More than One Reporting Person

(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. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock | 11/09/2012 | | M | | 57,500 | A | \$ 5.73 |
| Common Stock | 11/09/2012 | | M | | 125,000 | A | \$ 5.27 |
| Common Stock | 11/09/2012 | | S | | 182,500 (3) | D | \$ 26.0653 |
| Common Stock | 11/12/2012 | | M | | 1,753 | A | \$ 5.73 |
| Common Stock | 11/12/2012 | | S | | 1,753 (5) | D | \$ 26.0138 |

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| | | | | | | | |
|--------------|------------|---|--------|---|----------|---------|---|
| Common Stock | 11/13/2012 | M | 40,666 | A | \$ 5.73 | 424,194 | D |
| Common Stock | 11/13/2012 | S | 40,666 | D | \$ 25.75 | 383,528 | D |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474
(9-02)

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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title Amount Number Shares |
| Employee Stock Option (Right to Buy) | \$ 5.73 | 11/09/2012 | | M | 57,500 | <u>(1)</u> 03/20/2015 | Common Stock 57,500 |
| Employee Stock Option (Right to Buy) | \$ 5.27 | 11/09/2012 | | M | 125,000 | <u>(2)</u> 09/14/2015 | Common Stock 125,000 |
| Employee Stock Option (Right to Buy) | \$ 5.73 | 11/12/2012 | | M | 1,753 | <u>(4)</u> 03/20/2015 | Common Stock 1,753 |
| Employee Stock Option (Right to Buy) | \$ 5.73 | 11/13/2012 | | M | 40,666 | <u>(6)</u> 03/20/2015 | Common Stock 40,666 |

Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners

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Director 10% Owner Officer Other

FUSCO MARK
ASPEN TECHNOLOGY, INC.
200 WHEELER ROAD
BURLINGTON, MA 01803

President & CEO

Signatures

/s/ F.G. Hammond,
Attorney-In-Fact

11/14/2012

__Signature of Reporting Person

Date

Explanation of Responses:

* 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).

(1) The option granted at the exercise price of \$5.73, representing a right to purchase 1,100,000 shares, was exercisable at grant with respect to 500,000 shares. The remaining portion of the option became exercisable in 16 equal consecutive quarterly installments on the last day of each quarter, beginning on June 30, 2005.

(2) The option granted at the exercise price of \$5.27, representing a right to purchase 500,000 shares, became exercisable in 16 equal consecutive quarterly installments on the last day of each quarter, beginning on December 31, 2005.

(3) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$26.00 to \$26.26, inclusive. The reporting person undertakes to provide to Aspen Technology, Inc., any security holder of Aspen Technology, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

(4) The option granted at the exercise price of \$5.73, representing a right to purchase 1,100,000 shares, was exercisable at grant with respect to 500,000 shares. The remaining portion of the option became exercisable in 16 equal consecutive quarterly installments on the last day of each quarter, beginning on June 30, 2005.

(5) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$26.00 to \$26.0735, inclusive. The reporting person undertakes to provide to Aspen Technology, Inc., any security holder of Aspen Technology, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote.

(6) The option granted at the exercise price of \$5.73, representing a right to purchase 1,100,000 shares, was exercisable at grant with respect to 500,000 shares. The remaining portion of the option became exercisable in 16 equal consecutive quarterly installments on the last day of each quarter, beginning on June 30, 2005.

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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