

**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, DC 20549**

**FORM 8-K**

**CURRENT REPORT**

**Pursuant to Section 13 or 15(d) of the Securities Exchange Act of 1934**

Date of report (Date of earliest event reported):

**January 24, 2023**

**Ciena Corporation**

(Exact name of registrant as specified in its charter)

Commission File Number: **001-36250**

**Delaware**

(State or other jurisdiction of incorporation)

**7035 Ridge Road, Hanover, MD**

(Address of principal executive offices)

**23-2725311**

(IRS Employer Identification No.)

**21076**

(Zip Code)

Registrant's telephone number, including area code: **(410) 694-5700**

**Not Applicable**

(Former name or former address, if changed since last report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (*see* General Instruction A.2. below):

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Securities registered pursuant to Section 12(b) of the Act:

| Title of each class            | Trading Symbol(s) | Name of each exchange on which registered |
|--------------------------------|-------------------|---|
| Common stock, \$0.01 par value | CIEN              | New York Stock Exchange                   |

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

**ITEM 5.02 - DEPARTURE OF DIRECTORS OR CERTAIN OFFICERS; ELECTION OF DIRECTORS;**

**APPOINTMENT OF CERTAIN OFFICERS; COMPENSATORY ARRANGEMENTS OF CERTAIN OFFICERS**

(b) On January 24, 2023, Ciena Corporation (“Ciena”) announced the appointment of David M. Rothenstein as Senior Vice President, Chief Strategy Officer and Corporate Secretary, effective as of January 30, 2023. Mr. Rothenstein had been performing this role on an acting basis since March 2022. In his new role, Mr. Rothenstein will lead Ciena’s strategic planning process, and will be responsible for enabling and implementing corporate strategy, including driving inorganic growth through corporate development activities such as mergers and acquisitions, strategic alliances and partnerships, and venture capital investments. In connection with his appointment to this new role, Mr. Rothenstein resigned his previous role as Senior Vice President and General Counsel of Ciena, also effective as of January 30, 2023.

## SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned thereunto duly authorized.

### **Ciena Corporation**

Date: January 24, 2023

By: /s/ David M. Rothenstein  
David M. Rothenstein  
Senior Vice President, General Counsel and Secretary