## SEC Form 4

Instruction 1(b).

## FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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

OMB APPROVAL

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

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 <sup>*</sup><br>SAMUELI HENRY |          |          | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br><u>Broadcom Inc.</u> [AVGO] | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable) |  |  |  |  |  |
|---|----------|----------|---|--|--|--|--|--|--|
|   |          |          |   | X Director 10% Owner   |  |  |  |  |  |
| (Last)  | (First)  | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year)<br>09/18/2020                    | Officer (give title Other (specify below) below)                           |  |  |  |  |  |
| C/O BROAD   | COM INC. |          | 09/10/2020  |  |  |  |  |  |  |
| 1320 RIDDER PARK DRIVE  |          | Æ        |   |  |  |  |  |  |  |
|   |          |          | 4. If Amendment, Date of Original Filed (Month/Day/Year)                          | 6. Individual or Joint/Group Filing (Check Applicable Line)                |  |  |  |  |  |
| (Street)  |          |          |   | X Form filed by One Reporting Person                                       |  |  |  |  |  |
| SAN JOSE  | CA       | 95131    |   | Form filed by More than One Reporting<br>Person                            |  |  |  |  |  |
| (City)  | (State)  | (Zip)    |   |  |  |  |  |  |  |

## Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

|                                  |  |   | ·<br>                                   | , | ·       |               |          | ,   |   |   |
|----------------------------------|--|---|---|---|---------|---------------|----------|---|---|---|
| 1. Title of Security (Instr. 3)  | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code (Instr.<br>8) |   |         |               |          | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|                                  |  |   | Code                                    | v | Amount  | (A) or<br>(D) | Price    | Transaction(s)<br>(Instr. 3 and 4)  |   | (1150.4)  |
| Common Stock, \$0.001 par value  |  |   |   |   |         |               |          | 262,582 <sup>(1)</sup>  | D   |   |
| Common Stock, par value \$0.001k | 09/18/2020                                 |   | G                                       | v | 38,850  | A             | \$0      | 4,628,084 <sup>(4)</sup>  | Ι   | See<br>Footnote <sup>(2)</sup>                                    |
| Common Stock. \$0.001 par value  | 09/18/2020                                 |   | G                                       | v | 131,062 | A             | \$0      | 1,227,203(4)  | Ι   | See<br>Footnote <sup>(3)</sup>                                    |
| Common Stock, \$0.001 par value  |  |   |   |   |         |               |          | 0(4)  | Ι   | See<br>Footnote <sup>(5)</sup>                                    |
| Common Stock, \$0.001 par value  |  |   |   |   |         |               |          | 0(4)  | Ι   | See<br>Footnote <sup>(6)</sup>                                    |
| Common Stock, \$0.001 par value  | 09/18/2020                                 |   | Р                                       |   | 101,740 | A             | \$361.45 | 2,832,299   | Ι   | See<br>Footnote <sup>(7)</sup>                                    |
| Common Stock, \$0.001 par value  |  |   |   |   |         |               |          | 459,690   | Ι   | See<br>Footnote <sup>(8)</sup>                                    |
| Common Stock, \$0.001 par value  |  |   |   |   |         |               |          | 61,213(4)   | Ι   | See<br>Footnote <sup>(9)</sup>                                    |

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

|   |   |  |   |                              | , |  |   | • •                 |                    |   |   | ,  |  |  |  |
|---|---|--|---|------------------------------|---|--|---|---------------------|--------------------|---|---|--|--|--|--|
| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | of<br>Deriv<br>Secu<br>Acqu<br>(A) of<br>Dispo<br>of (D) | orivative (Month/Day/Year)<br>scurities<br>quired<br>) or<br>sposed<br>(D)<br>str. 3, 4 |                     | Deriv              | int of<br>rities<br>rlying<br>ative<br>rity (Instr. | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
|   |   |  |   | Code                         | v | (A)  | (D)   | Date<br>Exercisable | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of<br>Shares              |  |  |  |  |

Explanation of Responses:

1. Includes 2.641 restricted stock units.

2. Directly held by D95GT LLC. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

3. Directly held by E95GT LLC. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

4. Reflects change in form of beneficial ownership for no consideration in transaction exempt from Section 16 pursuant to Rule 16a-13 under the Securities Exchange Act of 1934.

5. Directly held by HS Portfolio L.P. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

6. Directly held by HS Management, L.P. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

7. Directly held by H&S Investments I L.P. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

8. Directly held by H & S Portfolio II L.P. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

9. Directly held by H & S Ventures LLC. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

/s/ Henry S. Samueli by Anne 09/21/2020 G. Plimpton, Attorney in Fact \*\* Signature of Reporting Person

Date

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

 $^{\ast}$  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.

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