SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

	ess of Reporting Pers		2. Issuer Name and Ticker or Trading Symbol Broadcom Inc. [AVGO]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner				
(Last) C/O BROADCO		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 03/23/2021	Α	Officer (give title below)	Other (specify below)		
1320 RIDDER PARK DRIVE			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	ividual or Joint/Group Filing (Check Applicable			
(Street)				X	Form filed by One Rep	porting Person		
SAN JOSE	CA	95131			Form filed by More that Person	an 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. Transaction Code (Instr. 8)		4. Securitie Disposed C	s Acquiro)f (D) (Ins	ed (A) or tr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		
Common Stock, \$0.001 par value	03/23/2021		S ⁽¹⁾		38	D	\$463.781 ⁽²⁾	6,322 ⁽³⁾	D	
Common Stock, \$0.001 par value	03/23/2021		S ⁽¹⁾		100	D	\$464.333 ⁽⁴⁾	6,222 ⁽³⁾	D	
Common Stock, \$0.001 par value	03/23/2021		S ⁽¹⁾		63	D	\$468.445 ⁽⁵⁾	6,159 ⁽³⁾	D	
Common Stock, \$0.001 par value	03/23/2021		S ⁽¹⁾		91	D	\$470.228(6)	6,068 ⁽³⁾	D	
Common Stock, \$0.001 par value	03/23/2021		S ⁽¹⁾		154	D	\$472.237 ⁽⁷⁾	5,914 ⁽³⁾	D	
Common Stock, \$0.001 par value	03/23/2021		S ⁽¹⁾		84	D	\$473.242 ⁽⁸⁾	5,830 ⁽³⁾	D	
Common Stock, \$0.001 par value	03/24/2021		S ⁽¹⁾		34	D	\$457.863 ⁽⁹⁾	5,796 ⁽³⁾	D	
Common Stock, \$0.001 par value	03/24/2021		S ⁽¹⁾		15	D	\$459.303(10)	5,781 ⁽³⁾	D	
Common Stock, \$0.001 par value	03/24/2021		S ⁽¹⁾		70	D	\$460.275(11)	5,711 ⁽³⁾	D	
Common Stock, \$0.001 par value	03/24/2021		S ⁽¹⁾		69	D	\$461.715 ⁽¹²⁾	5,642 ⁽³⁾	D	
Common Stock, \$0.001 par value	03/24/2021		S ⁽¹⁾		32	D	\$463.145(13)	5,610 ⁽³⁾	D	
Common Stock, \$0.001 par value	03/24/2021		S ⁽¹⁾		90	D	\$463.677(14)	5,520 ⁽³⁾	D	
Common Stock, \$0.001 par value	03/24/2021		S ⁽¹⁾		128	D	\$465.157(15)	5,392 ⁽³⁾	D	
Common Stock, \$0.001 par value	03/24/2021		S ⁽¹⁾		92	D	\$467.272(16)	5,300 ⁽³⁾	D	
Common Stock, \$0.001 par value								22,892	I	See Footnote ⁽¹⁷⁾

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		6. Date Exerc Expiration Da (Month/Day/Y			8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	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. Transaction made pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person.

2. Transaction executed in multiple trades at prices ranging from \$463.16 to \$463.98 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

3. Includes 949 restricted stock units.

4. Transaction executed in multiple trades at prices ranging from \$464.17 to \$464.44 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

5. Transaction executed in multiple trades at prices ranging from \$468.00 to \$468.85 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

6. Transaction executed in multiple trades at prices ranging from \$469.90 to \$470.78 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

7. Transaction executed in multiple trades at prices ranging from \$471.80 to \$472.56 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

8. Transaction executed in multiple trades at prices ranging from \$472.96 to \$473.74 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

9. Transaction executed in multiple trades at prices ranging from \$457.69 to \$458.17 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

10. Transaction executed in multiple trades at prices ranging from \$458.72 to \$459.70 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

11. Transaction executed in multiple trades at prices ranging from \$459.73 to \$460.47 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

12. Transaction executed in multiple trades at prices ranging from \$461.23 to \$462.13 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

13. Transaction executed in multiple trades at prices ranging from \$462.38 to \$463.17 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

14. Transaction executed in multiple trades at prices ranging from \$463.40 to \$464.00 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

15. Transaction executed in multiple trades at prices ranging from \$464.78 to \$465.64 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

16. Transaction executed in multiple trades at prices ranging from \$467.04 to \$467.50 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

17. Shares held by the Hartenstein family trust, for which the Reporting Person serves as trustee.

Remarks:

/s/ Noelle Matteson, Attorney-

in-Fact for Eddy W.

03/25/2021

Hartenstein ** 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.

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