

☐ 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

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* <u>Krause Thomas H.</u>  (Last) (First) (Middle) <u>C/O BROADCOM INC.</u> <u>1320 RIDDER PARK DRIVE</u>  (Street) <u>SAN JOSE</u> <u>CA</u> <u>95131</u>  (City) (State) (Zip)	2. Issuer Name and Ticker or Trading Symbol <u>Broadcom Inc. [ AVGO ]</u>  3. Date of Earliest Transaction (Month/Day/Year) <u>03/15/2021</u>  4. If Amendment, Date of Original Filed (Month/Day/Year)	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)  Director 10% Owner <input checked="" type="checkbox"/> Officer (give title below) Other (specify below) <u>President,Infrastructure SW Gp</u>  6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person  Form filed by More than One Reporting Person
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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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
Common Stock, \$0.001 par value	03/15/2021		A		15,625 <sup>(1)</sup>	A	\$0	68,500 <sup>(2)</sup>	D	
Common Stock, \$0.001 par value	03/15/2021		F		15,923 <sup>(3)</sup>	D	\$470.77	52,577 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		400	D	\$468.234 <sup>(5)</sup>	52,177 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		30	D	\$469.35	52,147 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		654	D	\$471.199 <sup>(6)</sup>	51,493 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		902	D	\$472.036 <sup>(7)</sup>	50,591 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		776	D	\$473.058 <sup>(8)</sup>	49,815 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		646	D	\$474.348 <sup>(9)</sup>	49,169 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		1,226	D	\$476.802 <sup>(10)</sup>	47,943 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		1,354	D	\$477.73 <sup>(11)</sup>	46,589 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		1,711	D	\$478.658 <sup>(12)</sup>	44,878 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		2,170	D	\$479.964 <sup>(13)</sup>	42,708 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		1,600	D	\$480.7 <sup>(14)</sup>	41,108 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		3,026	D	\$481.85 <sup>(15)</sup>	38,082 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		2,132	D	\$482.574 <sup>(16)</sup>	35,950 <sup>(4)</sup>	D	
Common Stock, \$0.001 par value	03/16/2021		S		200	D	\$483.67 <sup>(17)</sup>	35,750 <sup>(4)</sup>	D	

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 Securities Underlying Derivative Security (Instr. 3 and 4)	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		Date Exercisable	Expiration Date					
						(A) (D)			Title Amount or Number of Shares				

Explanation of Responses:

- On March 15, 2021, the Compensation Committee of the Issuer determined the achievement of certain performance criteria, based on the Issuer's compound annual total stockholder return relative to the S&P 500 Index, and the number of restricted stock units ("RSUs") that vests with respect to the fourth and final performance period pursuant to the terms of a performance stock unit award ("PSU award") granted on March 15, 2017 under the Avago Technologies Limited 2009 Equity Incentive Award Plan. The RSUs are subject to time-based vesting conditions and fully vested on March 15, 2021, subject to the Reporting Person's continued service through such date. The Reporting Person is entitled to one (1) share of common stock of the Issuer for each one (1) RSU.
- Represents 68,500 RSUs.
- Consists of shares withheld by the Issuer to satisfy the tax withholding obligations of the Reporting Person upon the vesting of the relevant RSUs, including PSU awards, previously granted to the Reporting Person.
- Includes 35,750 RSUs.
- Transaction executed in multiple trades at prices ranging from \$467.98 to \$468.83 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 \$470.70 to \$471.67 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 \$471.71 to \$472.60 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 \$472.76 to \$473.66 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 \$473.84 to \$474.82 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 \$476.25 to \$477.24 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 \$477.25 to \$478.22 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 \$478.26 to \$479.14 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 \$479.27 to \$480.26 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 \$480.30 to \$481.29 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 \$481.35 to \$482.33 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 \$482.42 to \$483.35 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. Transaction executed in multiple trades at prices ranging from \$483.54 to \$483.80 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.

Remarks:

[/s/Noelle Matteson, Attorney-in-Fact for Thomas H. Krause, 03/17/2021 Jr.](#)

\*\* 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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