# SEC Form 4

# FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

Washington, D.C. 2054

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

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

1. Name and Address of Reporting Person <sup>*</sup> $\underline{\text{TAN HOCK E}}$			2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>Broadcom Inc.</u> [ AVGO ]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
				X	Director	10% Owner				
(Last) (First) (Middle)		(Middle)	3. Date of Earliest Transaction (Month/Day/Year)	— x	Officer (give title below)	Other (specify below)				
C/O BROADCOM INC.			02/24/2020		President and CEO					
1320 RIDDEF	R PARK DRIVE	1								
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indi Line)	vidual or Joint/Group Fili	ng (Check Applicable				
SAN JOSE	СА	95131		X	Form filed by One Re	porting Person				
					Form filed by More th Person	an One Reporting				
(Citv)	(State)	(Zin)								

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

Table 1- Hon-Derivative Securities Acquired, Disposed of, of Derivitiany Owned												
1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transa Code ( 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership		
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)		
Common Stock, \$0.001 par value	02/24/2020		<b>M</b> <sup>(1)</sup>		62,500	A	\$52.65	232,542 <sup>(2)</sup>	D			
Common Stock, \$0.001 par value	02/24/2020		S <sup>(1)</sup>		8,796	D	\$290.783 <sup>(3)</sup>	223,746 <sup>(2)</sup>	D			
Common Stock, \$0.001 par value	02/24/2020		S <sup>(1)</sup>		14,604	D	\$291.76 <sup>(4)</sup>	209,142 <sup>(2)</sup>	D			
Common Stock, \$0.001 par value	02/24/2020		<b>S</b> <sup>(1)</sup>		14,244	D	\$292.622(5)	194,898 <sup>(2)</sup>	D			
Common Stock, \$0.001 par value	02/24/2020		<b>S</b> <sup>(1)</sup>		15,007	D	\$293.714(6)	179,891 <sup>(2)</sup>	D			
Common Stock, \$0.001 par value	02/24/2020		<b>S</b> <sup>(1)</sup>		6,245	D	\$294.69 <sup>(7)</sup>	173,646 <sup>(2)</sup>	D			
Common Stock, \$0.001 par value	02/24/2020		<b>S</b> <sup>(1)</sup>		2,004	D	\$295.79 <sup>(8)</sup>	171,642 <sup>(2)</sup>	D			
Common Stock, \$0.001 par value	02/24/2020		<b>S</b> <sup>(1)</sup>		500	D	\$296.43 <sup>(9)</sup>	171,142 <sup>(2)</sup>	D			
Common Stock, \$0.001 par value	02/24/2020		S <sup>(1)</sup>		1,100	D	\$298.084(10)	170,042 <sup>(2)</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. Transa Code ( 8)		of		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	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Stock Option (Right to Buy)	\$52.65	02/24/2020		M <sup>(1)</sup>			62,500	(11)	01/01/2021	Common Stock, \$0.001 par value	62,500	\$0	625,000	D	

#### Explanation of Responses:

1. Transaction made pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person.

2. Includes 1,502 Restricted Stock Units.

3. Transaction executed in multiple trades at prices ranging from \$290.21 to \$291.20 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.

4. Transaction executed in multiple trades at prices ranging from \$291.21 to \$292.20 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 \$292.21 to \$293.20 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 \$293.22 to \$294.20 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 \$294.22 to \$295.20 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 \$295.22 to \$296.20 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 \$296.33 to \$296.49 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 \$297.89 to \$298.32 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. Share price performance option granted pursuant to the Avago Technologies Limited 2009 Equity Incentive Award Plan. This option is fully vested and the exercisability requirements for this option have been met.

Remarks:

/s/ Noelle Matteson, Attorney-02/26/2020

<u>in-Fact for Hock E. Tan</u> \*\* 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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