SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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o longer subject	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP
n 4 or Form 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* <u>TAN HOCK E</u>			2. Issuer Name and Ticker or Trading Symbol Broadcom Inc, [AVGO]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
			<u></u> [, 00]	X	Director	10% Owner			
(Last)	ast) (First) (Middle)		3. Date of Earliest Transaction (Month/Day/Year)	- x	Officer (give title below)	Other (specify below)			
C/O BROADCOM INC.			06/17/2020		President and CEO				
1320 RIDDER PARK DRIVE		E							
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indi Line)	vidual or Joint/Group Fili	ing (Check Applicable			
SAN JOSE	CA	95131		X	Form filed by One Re	porting Person			
·			_		Form filed by More th 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)	Transaction Code (Instr.		4. Securities A Disposed Of (Securities Beneficially	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	06/17/2020		Α		152,838(1)	Α	\$ <mark>0</mark>	322,880 ⁽²⁾	D	
Common Stock, \$0.001 par value	06/18/2020		F		75,778 ⁽³⁾	D	\$313.44	247,102 ⁽²⁾	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)	5. Number 6. Date Exercisable and Expiration Date (Month/Day/Year) Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		Expiration Date Amount o			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. On June 17, 2020, the independent members of the Issuer's Board of Directors determined the achievement of certain performance criteria, based on the Issuer's total stockholder return ("TSR") performance as compared to the S&P 500 Index and the Issuer's absolute TSR, over a three year performance period ending on June 14, 2020, and the number of shares of common stock earned and issuable pursuant to the terms of a performance stock unit award granted on June 15, 2017 (the "2017 Award") under the Avago Technologies Limited 2009 Equity Incentive Award Plan. 2. Includes 1,502 restricted stock units.

3. Consists of shares withheld by the Issuer to satisfy the tax withholding obligations of the Reporting Person upon the vesting of the 2017 Award.

Remarks:

/s/ Noelle Matteson, Attorney-06/19/2020

in-Fact for Hock E. Tan

** 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.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

Check this box if no longer sub to Section 16. Form 4 or Form obligations may continue. See Instruction 1(b).