SEC Form 4
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# 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 bi	urden
hours per response:	0.5

Instruction 1(	b).		Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934	1	hours per	response: 0.
			or Section 30(h) of the Investment Company Act of 1940			
1. Name and Add <u>Kawwas C</u>	dress of Reporting <u>harlie B</u>	g Person <sup>*</sup>	2. Issuer Name <b>and</b> Ticker or Trading Symbol Broadcom Inc. [ AVGO ]		ationship of Reporting F k all applicable) Director Officer (give title	10% Owner Other (specify
(Last) (First) (Middle) C/O BROADCOM INC. 1320 RIDDER PARK DRIVE			3. Date of Earliest Transaction (Month/Day/Year) 03/02/2022		below) Chief Operatin	below) ng Officer
			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	vidual or Joint/Group Fi	iling (Check Applicabl
(Street) SAN JOSE	CA	95131		X	Form filed by One R Form filed by More t Person	
(Citv)	(State)	(Zip)		1		

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

Table 1- Non-Derivative Securities Acquired, Disposed 01, 01 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)			Acquired (D) (Insti	d (A) or r. 3, 4 and	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	01/19/2022		G	v	220(1)	D	\$ <mark>0</mark>	72,797 <sup>(2)</sup>	D		
Common Stock, \$0.001 par value	03/02/2022		A		2,500 <sup>(3)</sup>	A	\$ <mark>0</mark>	75,297 <sup>(4)</sup>	D		
Common Stock, \$0.001 par value	03/02/2022		A		2,500 <sup>(5)</sup>	A	\$ <mark>0</mark>	77,797 <sup>(6)</sup>	D		
Common Stock, \$0.001 par value	03/02/2022		A		2,500 <sup>(7)</sup>	A	\$ <mark>0</mark>	80,297 <sup>(8)</sup>	D		
Common Stock, \$0.001 par value	03/02/2022		A		9,375 <sup>(9)</sup>	A	\$ <mark>0</mark>	89,672(10)	D		
Common Stock, \$0.001 par value								55	I	By Child 1	
Common Stock, \$0.001 par value								55	Ι	By Child 2	
Common Stock, \$0.001 par value								55	I	By spouse as custodian for Child 3	
Common Stock, \$0.001 par value								55	I	By spouse as custodian for Child 4	

 

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

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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	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		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. Gifts to children.

2. Includes 46,335 restricted stock units.

3. On March 2, 2022, the Compensation Committee of the Issuer determined the achievement of certain performance criteria, based on the Issuer's compound annual total stockholder return ("TSR") relative to the S&P 500 Index, and the number of restricted stock units ("RSUs") that will vest with respect to the first of four performance periods pursuant to the terms of a performance stock unit award ("PSU award") granted on January 15, 2019, under the Avago Technologies Limited 2009 Equity Incentive Award Plan ("2009 Avago Plan"). The RSUs are subject to time-based vesting conditions and will vest in full on March 15, 2022, subject to the Reporting Person's continued service through such date. Upon vesting thereof, the Reporting Person is entitled to one (1) share of common stock for each one (1) RSU.

4. Includes 48,835 RSUs.

5. On March 2, 2022, the Compensation Committee of the Issuer determined the achievement of certain performance criteria, based on the Issuer's TSR relative to the S&P 500 Index, and the number of RSUs that will vest with respect to the second of four performance periods pursuant to the terms of a PSU award granted on January 15, 2019, under the 2009 Avago Plan. The RSUs are subject to timebased vesting conditions and will vest in full on March 15, 2022, subject to the Reporting Person's continued service through such date. Upon vesting thereof, the Reporting Person is entitled to one (1) share of common stock for each one (1) RSU.

#### 6. Includes 51,335 RSUs.

7. On March 2, 2022, the Compensation Committee of the Issuer determined the achievement of certain performance criteria, based on the Issuer's TSR relative to the S&P 500 Index, and the number of RSUs that will vest with respect to the third of four performance periods pursuant to the terms of a PSU award granted on January 15, 2019 under the 2009 Avago Plan. The RSUs are subject to time-based vesting conditions and will vest in full on March 15, 2022, subject to the Reporting Person's continued service through such date. Upon vesting thereof, the Reporting Person is entitled to one (1) share of common stock for each one (1) RSU.

## 8. Includes 53,835 RSUs.

9. On March 2, 2022, the Compensation Committee of the Issuer determined the achievement of certain performance criteria, based on the Issuer's TSR relative to the S&P 500 Index, and the number of RSUs that will vest with respect to the fourth and final performance period pursuant to the terms of a PSU award granted on March 15, 2018, under the 2009 Avago Plan. The RSUs are subject to timebased vesting conditions and will vest in full on March 15, 2022, subject to the Reporting Person's continued service through such date. Upon vesting thereof, the Reporting Person is entitled to one (1) share of common stock for each one (1) RSU.

10. Includes 63,210 RSUs.

Remarks:

<u>/s/ Noelle Matteson, Attorney-</u> <u>In-Fact for Charlie B Kawwas</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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