SEC Form 4
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## FORM 4

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UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL OMB Number: 3235-0287

Estimated average burden

	. Form 4 or Form 5 lay continue. <i>See</i> b).		Filed pursuant to Section 16(a) of the Securities Exchange Act of 19 or Section 30(h) of the Investment Company Act of 1940		Estimated average burden hours per response: 0.5		
1. Name and Ad Krause The	dress of Reporting omas <u>H.</u>	Person*	2. Issuer Name <b>and</b> Ticker or Trading Symbol Broadcom Inc. [ AVGO ]	(Check all appl Direct	icable) or r (give title	erson(s) to Issuer 10% Owner Other (specify	
(Last) C/O BROAD 1320 RIDDE	(First) COM INC. R PARK DRIVI	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 04/05/2021	woled	<i>,</i>	below) cture SW Gp	
(Street) SAN JOSE	СА	95131	4. If Amendment, Date of Original Filed (Month/Day/Year)	Line) X Form	filed by One Re filed by More th	ing (Check Applicab porting Person an One Reporting	le
(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)						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	04/05/2021(1)		Α		17,940 <sup>(2)</sup>	Α	\$0	53,690 <sup>(3)</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)		ransaction of Code (Instr. Derivative		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				

## Explanation of Responses:

1. Award approved on December 8, 2020, subject to stockholder approval of the Broadcom Inc. 2012 Stock Incentive Plan (amended and restated on April 5, 2021) (the "2012 Plan"), with an effective grant date of April 5, 2021.

2. Award of Restricted Stock Units ("RSUs") granted pursuant to the 2012 Plan. Upon vesting thereof, the Reporting Person is entitled to one (1) share of common stock for each one (1) RSU. The RSUs vest over a three-year period, with one-third of the RSUs vesting on each anniversary of December 15, 2020, subject to continued service with the Issuer. 3. Represents 53,690 RSUs.

## **Remarks:**

/s/Noelle Matteson, Attorney-

in-Fact for Thomas H. Krause, 04/07/2021

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.

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.