SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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* SAMUELI HENRY		son*	2. Issuer Name and Ticker or Trading Symbol Broadcom Inc. [AVGO]		onship of Reporting Person(s) to Issuer all applicable) Director 10% Owner		
(Last) (First) (Middle) C/O BROADCOM, INC. 1320 RIDDER PARK DRIVE		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 03/15/2021		Officer (give title below)	Other (specify below)	
			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	lividual or Joint/Group Filing (Check Applicable		
(Street)				X	Form filed by One Re	porting Person	
SAN JOSE	CA	95131			Form filed by More than One Reporti Person		
(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)	3. Transa Code (8)				5. Amount of Securities Beneficially Owned Following	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	Reported Transaction(s) (Instr. 3 and 4)			
Common Stock, \$0.001 par value	03/15/2021		A		3,625(1)	A	\$ <mark>0</mark>	266,707 ⁽²⁾	D		
Common Stock, \$0.001 par value								4,444,484	I	See Footnote ⁽³⁾	
Common Stock, \$0.001 par value								1,227,203	I	See Footnote ⁽⁴⁾	
Common Stock, \$0.001 par value								2,893,512	I	See Footnote ⁽⁵⁾	
Common Stock, \$0.001 par value								459,690	Ι	See Footnote ⁽⁶⁾	

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

	(e.g., puis, cais, warants, 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 Exerc Expiration Da (Month/Day/Y	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. 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 granted on March 15, 2017 under the Broadcom Corporation 2012 Stock Incentive 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.

2. Includes 500 RSUs.

3. Directly held by D95GT LLC. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

4. Directly held by E95GT LLC. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

5. Directly held by H&S Investments I L.P. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

6. Directly held by H&S Portfolio II L.P. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

Remarks:

/s/ Noelle Matteson, Attorney-03/17/2021

in-Fact for Henry S. Samueli

** 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.