| 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 Instruction 1(b).

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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

| OMB APPF                 | ROVAL     |  |  |  |  |  |  |  |  |
|--------------------------|-----------|--|--|--|--|--|--|--|--|
| OMB Number:              | 3235-0287 |  |  |  |  |  |  |  |  |
| Estimated average burden |           |  |  |  |  |  |  |  |  |
| hours per response:      | 0.5       |  |  |  |  |  |  |  |  |

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

|  |  |       | or Section 30(n) of the investment Company Act of 1940                              |   |  |  |  |  |  |  |
|--|--|-------|---|---|--|--|--|--|--|--|
| 1. Name and Address of Reporting Person*<br><u>Krause Thomas H.</u>              |  |       | 2. Issuer Name <b>and</b> Ticker or Trading Symbol<br><u>Broadcom Inc.</u> [ AVGO ] | 5. Relationship of Reporting Person(s) to Issuer<br>(Check all applicable)<br>Director 10% Owner<br>Cofficer (give title Other (specify                   |  |  |  |  |  |  |
|  | .ast) (First) (Middle)<br>%/O BROADCOM INC.<br>320 RIDDER PARK DRIVE |       | 3. Date of Earliest Transaction (Month/Day/Year) 11/15/2020                         | A below) below)<br>Chief Financial Officer  |  |  |  |  |  |  |
| (Street)<br>SAN JOSE   | CA   | 95131 | 4. If Amendment, Date of Original Filed (Month/Day/Year)                            | 6. Individual or Joint/Group Filing (Check Applicable<br>Line)<br>X Form filed by One Reporting Person<br>Form filed by More than One Reporting<br>Person |  |  |  |  |  |  |
| (City)   | (State)  | (Zip) |   |   |  |  |  |  |  |  |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |  |       |   |   |  |  |  |  |  |  |
|  |  |       |   | n las se las in lans e  |  |  |  |  |  |  |

| 1. Title of Security (Instr. 3) | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | Code ( |   | 4. Securities Acquired (A) or<br>Disposed Of (D) (Instr. 3, 4 and 5) |               |                           | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------|--|---|--------|---|--|---------------|---------------------------|---|---|---|
|                                 |  |   | Code   | v | Amount   | (A) or<br>(D) | Price                     | Transaction(s)<br>(Instr. 3 and 4)  |   | (1150.4)  |
| Common Stock, \$0.001 par value | 11/15/2020                                 |   | М      |   | 2,500 <sup>(1)</sup>   | Α             | <b>\$0</b> <sup>(2)</sup> | 53,866 <sup>(3)</sup>   | D   |   |
| Common Stock, \$0.001 par value | 11/15/2020                                 |   | F      |   | 2,480 <sup>(4)</sup>   | D             | \$373.5                   | 51,386 <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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security  | 3. Transaction<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) |   | Derivative Expiration Date<br>Securities (Month/Day/Year)<br>Acquired (A)<br>or Disposed |                      | Amount of           |                           | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported | 10.<br>Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr. 4) | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |   |  |
|   |  |  |   | Code                         | v | (A)  | (D)                  | Date<br>Exercisable | Expiration<br>Date        | Title   | Amount<br>or<br>Number<br>of<br>Shares   |  | Transaction(s)<br>(Instr. 4)                                       |   |  |
| Performance<br>Based<br>Restricted<br>Stock Units   | \$0.0  | 11/15/2020                                 |   | М                            |   |  | 2,500 <sup>(1)</sup> | (1)                 | 11/15/2020 <sup>(1)</sup> | Common<br>Stock,<br>\$0.001<br>par value            | 2,500  | \$0  | 0  | D |  |

## Explanation of Responses:

1. Shares vested pursuant to a share price performance restricted stock unit award (the "Performance RSU") granted pursuant to the Avago Technologies Limited 2009 Equity Incentive Award Plan on November 15, 2016. The Performance RSU is subject to vest over four years, with 25% vesting on each anniversary of the date of grant, such that the Performance RSU fully vested on November 15, 2020, subject to the Reporting Person's continued service through such date; and provided, however, that no portion of the Performance RSU may vest unless the average of the closing prices of the Issuer's shares (as reported on the stock exchange on which the shares are listed), over a twenty consecutive trading day period is equal to or greater than 120% of the fair market value of the Issuer's shares on the date of grant (the "Price Contingency"). On January 5, 2017, the Price Contingency was met, and on November 15, 2020, the fourth and final 25% of the Performance RSU vested.

2. Each Performance RSU represents the right to receive, at settlement, one share of common stock of the Issuer. This transaction represents the settlement of the Performance RSU in the Issuer's shares of common stock on the scheduled vest date.

3. Includes 48,375 restricted stock units ("RSUs").

4. Consists of shares of common stock withheld by the Issuer to satisfy the tax withholding obligations of the Reporting Person upon the vesting of the Performance RSU and the relevant RSUs previously granted to the Reporting Person.

Remarks:

/s/Noelle Matteson, Attorney-in-11/17/2020

Fact for Thomas H. Krause, 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.