

TAN HOCK E
Form 4
December 19, 2017

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
TAN HOCK E

(Last) (First) (Middle)

C/O AVAGO TECHNOLOGIES US
INC., 1320 RIDDER PARK DRIVE

(Street)

SAN JOSE, CA 95131

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
Broadcom Ltd [AVGO]

3. Date of Earliest Transaction
(Month/Day/Year)

12/15/2017

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify
below)

President and CEO

6. Individual or Joint/Group Filing(Check
Applicable Line)

☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

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. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Ordinary Shares, no par value	12/15/2017		M ⁽¹⁾	10,000 A	\$ 32.39 120,623 ⁽²⁾	D	
Ordinary Shares, no par value	12/15/2017		M ⁽¹⁾	10,000 A	\$ 38.99 130,623 ⁽²⁾	D	
Ordinary Shares, no par value	12/15/2017		S ⁽¹⁾	5,920 D	\$ 259.086 124,703 ⁽²⁾ ⁽³⁾	D	
Ordinary Shares, no	12/15/2017		S ⁽¹⁾	13,280 D	\$ 111,423 ⁽²⁾ 259.857	D	

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par value					(4)		
Ordinary					\$		
Shares, no	12/15/2017	S ⁽¹⁾	800	D	261.019	110,623 ⁽²⁾	D
par value					(5)		
Ordinary					\$		
Shares, no	12/18/2017	S	789 ⁽⁶⁾	D	264.377	109,834 ⁽²⁾	D
par value							

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(9-02)

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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Amount or Number of Shares
Stock Option (Right to Buy)	\$ 32.39	12/15/2017		M ⁽¹⁾	10,000	⁽⁷⁾ 03/07/2018	Ordinary Shares, no par value	10,000
Stock Option (Right to Buy)	\$ 38.99	12/15/2017		M ⁽¹⁾	10,000	⁽⁸⁾ 09/12/2020	Ordinary Shares, no par value	10,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
TAN HOCK E C/O AVAGO TECHNOLOGIES US INC. 1320 RIDDER PARK DRIVE SAN JOSE, CA 95131	X		President and CEO	

Signatures

/s/ Noelle Matteson, Attorney-in-Fact for Hock
E. Tan

12/19/2017

__Signature of Reporting Person

Date

Explanation of Responses:

- * 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).

- (1) Transaction made pursuant to a Rule 10b5-1 trading plan adopted by the Reporting Person.
- (2) Includes 4,507 Restricted Share Units.

- (3) Transaction executed in multiple trades at prices ranging from \$258.46 to \$259.43 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

- (4) Transaction executed in multiple trades at prices ranging from \$259.46 to \$260.42 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

- (5) Transaction executed in multiple trades at prices ranging from \$260.52 to \$261.65 per share, inclusive. The price reported in column 4 above reflects the weighted average sale price per share. The Reporting Person hereby undertakes to provide the SEC staff, the Issuer or a security holder of the Issuer, upon request, full information regarding the number of shares sold at each respective price within the range set forth in this footnote.

- (6) Shares sold by the Reporting Person pursuant to mandatory sale provisions of the relevant restricted share unit ("RSU") grant requiring the sale of sufficient shares to cover withholding taxes due upon vesting of RSUs.
- (7) The option is fully vested and exercisable.
- (8) Share price performance option (the "2006 Option") granted pursuant to the Avago Technologies Limited 2009 Equity Incentive Award Plan (the "Avago Plan"). The 2006 Option is fully vested and the exercisability requirements for the 2006 Option have been met.

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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