SEC Form 4

FORM 4

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

OMB APPROVAL

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	OMB Number:	3235-0287
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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

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 [*] KVAMME FLOYD E					2. Issuer Name and Ticker or Trading Symbol <u>HARMONIC INC</u> [HLIT]							(Che	eck all applic	tionship of Reporting Person(s) to Is all applicable)			
(Last) 4300 NC	(F)RTH FIRS	3. Date of Earliest Transaction (Month/Day/Year) 04/03/2019									Officer (give title		10% Owner Other (specify below)				
(Street) SAN JOSE CA 95134 (City) (State) (Zip)						4. If Amendment, Date of Original Filed (Month/Day/Year)					Line) X Form fi Form fi	vidual or Joint/Group Filing (Check Applicable Form filed by One Reporting Person Form filed by More than One Reporting Person				
		Tal	ble I - Nor	n-Deriv	ative S	ecurities	s Acc	quired,	Dis	posed o	f, or Ber	neficiall	y Owned				
1. Title of Security (Instr. 3) 2. Transa Date (Month/D)					action 2A. Deemed Execution Date, if any (Month/Day/Yea			ar) 8) Code (Instr. 5)			r. 3, 4 and	- Reported	es Fo ially (D Following (I) d		vnership 1: Direct r Indirect 1str. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v				Amount	(A) or (D)	Price		Transaction(s) (Instr. 3 and 4)					
			Table II -			curities / IIs, warra							Owned				
1. Title of Derivative Security (Instr. 3)	erivative Conversion Date Execution Date, Trecurity or Exercise (Month/Day/Year) if any C			Transaction Code (Instr.		ve (es d d str.	Expiration Date of Secu (Month/Day/Year) Underly Derivat			of Securit Underlyin Derivative	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		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)	
												Amount or Number					

Units⁽¹⁾

\$0.00

Restricted

Stock

Explanation of Responses:

1. Each restricted stock unit represents a contingent right to receive one share of HLIT common stock.

2. The shares subject to the restricted stock units are scheduled to vest in full on February 15, 2020. Vested shares will be delivered to the reporting person on or immediately following February 15, 2020. Remarks:

(D)

Date Exercisable

02/15/2020⁽²⁾

Expiration Date

02/15/2020

Title

Comm

Stock

/s/ Laura Donovan By Attorney-in-Fact: Laura Donovan

04/04/2019

21,238

D

** Signature of Reporting Person

of Shares

21,238

\$<mark>0.00</mark>

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).

04/03/2019

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

v

Code

A

(A)

21,238

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.

Date