SEC Form 3

FORM 3

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

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES**

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 A | ddress of Repo | 0 | 2. Date of Event Requiring Stater (Month/Day/Yea | ment | 3. Issuer Name and Ticker or Trading Symbol HARMONIC INC [HLIT] | | | | | | |
|--|----------------|----------|--|--------------------|--|---|---|--|---|---|--|
| (Last) | (First) | (Middle) | 01/09/2017 | | 4. Relationship of Reporting Person(s) to Issuer (Check all applicable) | | | 5. If Amendment, Date of Original Filed (Month/Day/Year) | | | |
| 4300 NORTH FIRST STREET | | | | | X Director Officer (give title | 10% Own Other (spe | | 6. Individual or Joint/Group Filing (Check fy Applicable Line) | | | |
| (Street) SAN JOSE | CA | 95134 | | | below) | below) | | X Form filed by One Reporting Person Form filed by More than One Reporting Person | | | |
| (City) | (State) | (Zip) | | | | | | | | | |
| | | | Table I - Nor | n-Derivati | tive Securities Beneficia | lly Owned | | | | | |
| 1. Title of Security (Instr. 4) | | | | 1- | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5) | | 4. Nature of Indirect Beneficial Ownership (Instr. 5) | | | |
| | | | | | e Securities Beneficially ants, options, convertibl | | s) | | | | |
| 1. Title of Derivative Security (Instr. 4) | | | 2. Date Exercisable and Expiration Date (Month/Day/Year) | | d 3. Title and Amount of Sect Underlying Derivative Sect 4) | | 4. Convers or | ersion | 5. Ownership Form: | 6. Nature of Indirect Beneficial Ownership (Instr. 5) | |
| | | | Date Exercisable | Expiration Date | n Title | Amount or Number of Shares | Exercis Price of Derivati Security | f ive | Direct (D) or Indirect (I) (Instr. 5) | | |

Explanation of Responses:

Remarks:

No securities are beneficially owned.

/s/ Laura Donovan By Attorney-in-Fact: Laura <u>Donovan</u> ** Signature of Reporting Person

01/11/2017

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 5 (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.