FORM 4

## **UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 20549

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

| OMB APPRO                | OVAL      |  |  |  |  |  |  |  |
|--------------------------|-----------|--|--|--|--|--|--|--|
| OMB Number:              | 3235-0287 |  |  |  |  |  |  |  |
| Estimated average burden |           |  |  |  |  |  |  |  |
| hours per response:      | 0.5       |  |  |  |  |  |  |  |

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

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* <u>Louvet Eric</u> |  |  |  |         |  |   | 2. Issuer Name <b>and</b> Ticker or Trading Symbol  HARMONIC INC [ HLIT ]                                      |      |  |     |                    |                                       |   |                       | k all application   | able)   | ) Pers         | on(s) to Issu<br>10% Ov<br>Other (s                                      | vner   |  |
|---|--|--|--|---------|--|---|--|------|--|-----|--------------------|---------------------------------------|---|-----------------------|---|---|----------------|--|--|--|
| (Last) (First) (Middle) 4300 NORTH FIRST STREET             |  |  |  |         |  | 3. Date of Earliest Transaction (Month/Day/Year) 02/24/2020 |  |      |  |     |                    |                                       |   | X                     | below)  |   |                | below)   | `  |  |
| (Street) SAN JOSE CA 95134 (City) (State) (Zip)             |  |  |  |         | 4. If Amendment, Date of Original Filed (Month/Day/Year) |   |  |      |  |     |                    |                                       |   | 6. Indi<br>Line)<br>X | ′   |   |                |  |  |  |
|   |  | Tal  | ole I - Non  | -Deriv  | ative  | e Se  | curitie  | s Ac | quired,  | Dis | posed o            | f, or Ber                             | nefic   | ially                 | Owned   |   |                |  |  |  |
| 1. Title of Security (Instr. 3)  2. Transac Date (Month/Da  |  |  |  |         |  | Execution Date,   |  |      | Code (Instr. 5)  |     |                    | Of (D) (Inst                          | r. 3, 4   |                       | 5. Amour<br>Securitie<br>Beneficia<br>Owned F<br>Reported | s Forn<br>ally (D) c<br>ollowing (I) (Ir  |                | : Direct<br>Indirect<br>str. 4)  | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4)  |  |
|   |  |  |  |         |  |   | Code   | V    | Amount   | (0) |                    | ce                                    | Transacti<br>(Instr. 3 a  | and 4)                |   |   |                |  |  |  |
|   | 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 D<br>if any<br>(Month/Day/ | ate, Tr | ransac<br>ode (Ir  |   | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D) (Instr.<br>3, 4 and 5) |      | 6. Date Exercisa<br>Expiration Date<br>(Month/Day/Year |     |                    | of Securit<br>Underlyin<br>Derivative | 7. Title and Amount<br>of Securities<br>Underlying<br>Derivative Security<br>(Instr. 3 and 4) |                       | 8. Price of<br>Derivative<br>Security<br>(Instr. 5)       | 9. Number<br>derivative<br>Securities<br>Beneficial<br>Owned<br>Following<br>Reported<br>Transactio<br>(Instr. 4) | e<br>s<br>ally | 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) |  |
|   |  |  |  | c       | ode  | v   | (A)  | (D)  | Date<br>Exercisabl                                     |     | Expiration<br>Date | Title                                 | Amo<br>or<br>Num<br>of<br>Share   | ber                   |   |   |                |  |  |  |
| Restricted<br>Stock<br>Units <sup>(1)</sup>                 | \$0.00   | 02/24/2020                                 |  |         | A  |   | 66,860   |      | 02/15/2021   | (2) | 02/15/2023         | Common<br>Stock                       | 66,8  | 860                   | \$0.00  | 66,860  | )              | D  |  |  |

## Explanation of Responses:

- 1. Each restricted stock unit represents a contingent right to receive one share of HLIT common stock.
- 2. One third (33.33%) of the Shares subject to the Restricted Stock Units are scheduled to vest on February 15, 2021, and approximately 8.33% of the remaining Restricted Stock Units will vest each three months thereafter, so as to be 100% vested on the third anniversary of the RSU Vesting Commencement Date.

## Remarks:

/s/ Laura Donovan By

Attorney-in-Fact Laura 02/26/2020

Donovan

\*\* Signature of Reporting Person Date

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

- $^{\star}$  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.