SEC Form 4
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### FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL
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## 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*			2. Issuer Name <b>and</b> Ticker or Trading Symbol HARMONIC INC [ HLIT ]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)
Louvet Eric				Director 10% Owner
(Last) 2590 ORCHA	(Last) (First) (Middle) 2590 ORCHARD PARKWAY		3. Date of Earliest Transaction (Month/Day/Year) 08/15/2020	X Officer (give title Other (specif below) below) SVP, Global Sales & Video Svcs
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicat Line)
SAN JOSE	CA	95131		X Form filed by One Reporting Person
(City)	(State)	(Zip)	—	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. Transa Code ( 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock	08/15/2020		М		4,166 <sup>(1)</sup>	Α	\$0.00	125,880 <sup>(2)</sup>	D	
Common Stock	08/15/2020		F		1,440 <sup>(3)</sup>	D	<b>\$6.72</b>	124,440	D	
Common Stock	08/15/2020		М		6,250 <sup>(4)</sup>	A	\$0.00	130,690	D	
Common Stock	08/15/2020		F		2,161 <sup>(3)</sup>	D	\$6.72	128,529	D	

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. Transa Code ( 8)		of		6. Date Exerc Expiration Da (Month/Day/\	ate	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	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)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Restricted Stock Units <sup>(5)</sup>	\$0.00	08/15/2020		М			4,166	02/15/2019	02/15/2021	Common Stock	4,166	\$0.00	8,334	D	
Restricted Stock Units <sup>(5)</sup>	\$0.00	08/15/2020		М			6,250	02/15/2020	02/15/2022	Common Stock	6,250	\$0.00	37,500	D	

#### Explanation of Responses:

1. These shares of common stock were acquired upon the vesting of restricted stock units on August 15, 2020. These restricted stock units were initially granted to the Reporting Person on 3/20/2018, and were identified on a Form 3 filed by the Reporting Person on February 13, 2019.

2. Includes 1,500 shares of common stock acquired in the company's Section 16-b exempt employee stock purchase plan on 7/1/2020.

3. Shares of Harmonic Inc. common stock withheld by Harmonic Inc. to satisfy tax withholding obligation upon vesting of restricted stock units.

4. These shares of common stock were acquired upon the vesting of restricted stock units on August 15, 2020. These restricted stock units were initially granted to the Reporting Person on 4/15/2019, and were identified on a Form 4 filed by the Reporting Person on 4/17/2019.

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

#### **Remarks:**

<u>/s/ Laura Donovan By</u> <u>Attorney-in-Fact: Laura</u>

08/18/2020

<u>Donovan</u>

\*\* 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.

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