SEC Form 4

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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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

OMB APPROVAL							
OMB Number: 3235-0287							
Estimated average burden							
hours per response:	0.5						

1. Name and Addr <u>Reaugh Mit</u>	1 0	Person*	2. Issuer Name and Ticker or Trading Symbol <u>HARMONIC INC</u> [HLIT]		tionship of Reporting Pe all applicable) Director	erson(s) to Issuer 10% Owner			
(Last) 4300 NORTH	(First) FIRST STREE	(Middle) T	3. Date of Earliest Transaction (Month/Day/Year) 02/15/2020		Officer (give title below)	Other (specify below)			
			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv	vidual or Joint/Group Fili	ng (Check Applicable			
(Street)				Line)	Form filed by One Reporting Person				
SAN JOSE	CA	95134				, ,			
<i>y</i>					Form filed by More than One Reporting Person				
(City)	(State)	(Zip)							
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned									

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)	Transaction Code (Instr.		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	02/15/2020		М		21,238(1)	Α	\$0.00	212,984	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and Amount 8. Price of 9. Number of 10. 11. Nature Derivative Execution Date, if any of Securities Underlying Derivative Security Derivative Conversion Date Transaction Expiration Date derivative Ownership of Indirect (Month/Dav/Year) Derivative or Exercise Code (Instr. (Month/Dav/Year) Security Securities Form: Beneficial (Instr. 3) Price of (Month/Day/Year) 8) Securities (Instr. 5) Beneficially Direct (D) Ownership Derivative Acquired (Instr. 3 and 4) (Instr. 4) Owned or Indirect Security (A) or Disposed Following (I) (Instr. 4) Reported of (D) (Instr. 3, 4 and 5) Transaction(s) (Instr. 4) Amount or Number Expiration of Shares Date (D) Exercisable (A) Title Code Date Restricted Commoi 21,238 Stock \$0.00 02/15/2020 Μ 21 238 02/15/2020 02/15/2020 \$0.00 0 D Stock

Explanation of Responses:

1. These shares of common stock were acquired upon the vesting of restricted stock units on 2/15/2020. These restricted stock units were initially granted to the Reporting Person on 4/3/2019, and were identified on a Form 4 filed by the Reporting Person on 4/4/2019.

Remarks:

Units

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

02/19/2020

** 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.

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.