SEC Form 4

FORM 4

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

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APP	ROVAL
OMB Number:	3235-02

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

			or Section 30(n) of the investment Company Act of 1940						
1. Name and Address of Reporting Person [*] Ben-Natan Nimrod			2. Issuer Name and Ticker or Trading Symbol HARMONIC INC [HLIT]	(Check	tionship of Reporting Pe all applicable) Director Officer (give title	rson(s) to Issuer 10% Owner Other (specify			
(Last) 2590 ORCHA	(First) (Middle) ARD PARKWAY		3. Date of Earliest Transaction (Month/Day/Year) 02/19/2021		below) SVP & GM, Ca	below)			
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	6. Individual or Joint/Group Filing (Check Applicable Line)				
SAN JOSE	CA	95131		X	Form filed by One Rep	oorting Person			
(City)	(State)	(Zip)	—		Form filed by More the Person	an One Reporting			
		Table I - Non-De	erivative Securities Acquired, Disposed of, or Bene	eficially (Dwned				

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)		(Instr. 4)
Common Stock	02/19/2021		М		40,480(1)	Α	\$6.49	476,880	D	
Common Stock	02/19/2021		S		40,480	D	\$7.933	436,400	D	
Common Stock	02/22/2021		М		59,520 ⁽¹⁾	Α	\$6.49	495,920	D	
Common Stock	02/22/2021		S		59,520	D	\$7.97	436,400	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 Deri Seci Acq (A) o Disp of (E	erivative (Month/Day/Year) ecurities cquired		Ind 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				
Stock Options/Right to buy	\$6.49	02/19/2021		М			40,480	02/15/2015	03/14/2021	Common Stock	40,480	\$6.49	59,520	D	
Stock Options/Right to buy	\$6.49	02/22/2021		М			59,520	02/15/2015	03/14/2021	Common Stock	59,520	\$6.49	0	D	

Explanation of Responses:

1. These shares acquired in exercise of a stock option scheduled to expire on March 14, 2021.

Remarks:

/s/ Laura Donovan By Attorney-02/23/2021

in-Fact Laura Donovan

** 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.