## FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL 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).

## 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 <sup>*</sup><br>SWENSON SUSAN   |   |  |        |                                 |                                 | 2. Issuer Name and Ticker or Trading Symbol<br><u>HARMONIC INC</u> [ HLIT ] |           |                   |  |                       |  |   |                     |                             | Relationship<br>eck all appl<br>X Direct                    | ,   | ıg Pe                       | erson(s) to Is<br>10% O  |                         |
|---|---|--|--------|---------------------------------|---------------------------------|---|-----------|-------------------|--|-----------------------|--|---|---------------------|-----------------------------|---|---|-----------------------------|--|-------------------------|
| (Last)  | , , , , , , , ,   |  |        |                                 |                                 | 3. Date of Earliest Transaction (Month/Day/Year)<br>02/15/2017              |           |                   |  |                       |  |   |                     |                             |   | Officer (give title below)  |                             | Other (<br>below)  | specify                 |
| 4300 NORTH FIRST STREET   |   |  |        |                                 | 4. If A                         | 4. If Amendment, Date of Original Filed (Month/Day/Year)                    |           |                   |  |                       |  |   |                     |                             | 6. Individual or Joint/Group Filing (Check Applicable Line) |   |                             |  |                         |
| (Street)  |   |  |        |                                 |                                 |   |           |                   |  |                       |  |   |                     |                             | X Form  | Form filed by One Reporting Person  |                             |  |                         |
| SAN JOS   | SAN JOSE CA 95134   |  |        |                                 |                                 |   |           |                   |  |                       |  |   |                     |                             | Form filed by More than One Reporting<br>Person             |   |                             |  |                         |
| (City)  | (State) (Zip)   |  |        |                                 |                                 |   |           |                   |  |                       |  |   |                     |                             |   |   |                             |  |                         |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned  |   |  |        |                                 |                                 |   |           |                   |  |                       |  |   |                     |                             |   |   |                             |  |                         |
| 1. Title of Security (Instr. 3)<br>2. Transacti<br>Date<br>(Month/Day)  |   |  |        | y/Year)                         | Exec<br>if an                   | Deemed<br>ution Date,<br>y<br>nth/Day/Year)                                 |           | Transaction Dispo |  |                       | rities Acquired (A<br>ed Of (D) (Instr. 3, |   |                     | Securit<br>Benefic<br>Owned | ies<br>cially   | For<br>(D)<br>Indi  | m: Direct<br>or<br>rect (I) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4)    |                         |
|   |   |  |        |                                 |                                 |   |           |                   | Code   | v                     | Amount                                     | (A<br>(D  | ) or<br>)           | Price                       | Report<br>Transa  | Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4)   |                             | tr. 4)   | (1150.4)                |
| Common Stock 02/15/20   |   |  |        |                                 | 2017                            | 17  |           | М                 |  | 24,000 <sup>(1)</sup> |  | A   | \$ <mark>0.0</mark> | 0 10                        | 101,754   |   | D                           |  |                         |
| Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned<br>(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) | if any | emed<br>ion Date,<br>/Day/Year) | 4.<br>Transac<br>Code (Ir<br>8) |   | of        |                   | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |                       |  | 7. Title and<br>Amount of<br>Securities<br>Underlying<br>Derivative<br>Security (Instr. 3<br>and 4) |                     | tr. 3                       | 8. Price<br>of<br>Derivative<br>Security<br>(Instr. 5)      | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction<br>(Instr. 4) | y                           | Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I) (Instr.<br>4) | Beneficial<br>Ownership |
|   |   |  |        |                                 | Code                            | v   | (A)       | (D)               | Date<br>Exercisabl   |                       | xpiration<br>ate                           | Title   | or<br>Nu<br>of      | nount<br>mber<br>ares       |   |   |                             |  |                         |
| Restricted<br>Stock Unit  | \$0.00  | 02/15/2017                                 |        |                                 | М                               |   | $\square$ | 24,000            | 02/15/2017   | 7 0.                  | 2/15/2017                                  | Commo<br>Stock  | <sup>n</sup> 24     | ,000                        | \$0.00  | 0   |                             | D  |                         |

Explanation of Responses:

1. These shares of common stock were acquired upon the vesting of restricted stock units on 2/15/2017. These restricted stock units were initially granted to the Reporting Person on 3/14/2016, and were identified on a Form 4 filed by the Reporting Person on 3/16/2016.

**Remarks:** 

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

02/17/2017

\*\* 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.