SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES**

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 [*] Spriester Bart			2. Date of Ever Requiring State (Month/Day/Yea	ment	3. Issuer Name and Ticker or Trading Symbol HARMONIC INC [HLIT]					
(Last) 4300 NORTI (Street) SAN JOSE (City)	(First) H FIRST STR CA (State)	(Middle) EET 95134 (Zip)	02/04/2015 		4. Relationship of Reporting Per (Check all applicable) Director X Officer (give title below) SVP, Video Pro	10% Owne Other (spe below)	er 6. li cify App	 5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person 		
			Table I - No	n-Derivat	ive Securities Beneficial	ly Owned	I			
1. Title of Security (Instr. 4)				1-	. Amount of Securities seneficially Owned (Instr. 4)			4. Nature of Indirect Beneficial Ownership (Instr. 5)		
					e Securities Beneficially ints, options, convertible		5)			
1. Title of Derivative Security (Instr. 4)			2. Date Exerc Expiration Da (Month/Day/Y	te	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or	5. Ownership Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)	
			Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Price of o	Direct (D) or Indirect (I) (Instr. 5)		
Right to buy/	stock option		09/02/2015 ⁽¹⁾	09/06/2021	Common Stock	100,000	6.88	D		
Restricted Sto	ock Units ⁽²⁾		09/02/2015 ⁽³⁾	09/02/2016	Common Stock	50,000	0.00	D		

Explanation of Responses:

1. Thirty three percent of the Shares subject to the Option are scheduled to vest twelve months after the Vesting Commencement Date, and one thirty sixth of the Shares subject to the Option are scheduled to vest monthly thereafter.

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

3. Fifty percent of the shares subject to the restricted stock units are scheduled to vest on September 2, 2015, and the remaining fifty percent of the restricted stock units are scheduled to vest on September 2, 2016.

Remarks:

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

02/17/2015

** 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 5 (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.