SEC Form 4

П

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* <u>Clifford Deborah</u>				2. Issuer Name and Ticker or Trading Symbol <u>HARMONIC INC</u> [HLIT]								(Che	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director 10% Owner					
(Last) (First) (Middle) 2590 ORCHARD PARKWAY					3. Date of Earliest Transaction (Month/Day/Year) 02/17/2022									• • • • • •	(give title		Other (s	-
(Street) SAN JO (City)			95131 (Zip)		4. If Amendment, Date of Original Filed (Month/Day/Year)								6. In Line)) 🤇 Form fil	Joint/Group Filing (Check Applicable filed by One Reporting Person filed by More than One Reporting n			
		Tal	ble I - Noi	n-Deriv	ative Se	curities A	cqu	ired,	Disp	osed o	f, o	r Bene	ficially	y Owned				
1. Title of Security (Instr. 3) 2. Transa Date (Month/E				action 2A. Deemed Execution Date, if any (Month/Day/Year			Code (Instr. 5)						5. Amour Securitie Beneficia Owned F	es For ially (D) Following (I) (Direct Indirect str. 4)	7. Nature of Indirect Beneficial Ownership	
								Code	v	Amount		(A) or (D)	Price	Reported Transacti (Instr. 3 a	ion(s)			(Instr. 4)
	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 I if any (Month/Day	Date, Tr	ransaction ode (Instr.	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	Exp	Date Exe piration onth/Da	Date		d 7. Title and Am of Securities Underlying Derivative Sec (Instr. 3 and 4)		ecurity	8. Price of Derivative Security (Instr. 5)	9. Numbe derivative Securitie Beneficia Owned Following Reported Transacti (Instr. 4)	e s dly g	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)

Explanation of Responses:

\$0.00

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

02/17/2022

Code

A

v

(A)

14.395

2. The shares subject to the restricted stock units are scheduled to vest in full on February 15, 2023. The vested RSUs will be settled in shares within 60 days following the earliest to occur of (I) a change-incontrol event, (ii) the director's separation from service from the company, or (iii) the director's death.

Date Exercisable

02/15/2023⁽²⁾

(D)

Remarks:

Restricted

Stock

Units⁽¹⁾

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

Expiration Date

02/15/2023

Title

Commor

Stock

02/22/2022

14,395

D

** Signature of Reporting Person Date

Amount or Number of Shares

14,395

\$0.00

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.