

BROADCOM CORP  
Form 4  
December 03, 2014

**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 OF  
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,  
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section  
30(h) of the Investment Company Act of 1940

## OMB APPROVAL

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**SAMUELI HENRY**

(Last) (First) (Middle)

**5300 CALIFORNIA AVENUE**

(Street)

**IRVINE, CA 92617**

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading  
Symbol  
**BROADCOM CORP [BRCM]**

3. Date of Earliest Transaction  
(Month/Day/Year)  
**12/01/2014**

4. If Amendment, Date Original  
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

☐ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify below)

Chairman of the Board and CTO

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
☒ Form filed by One Reporting Person  
☐ Form filed by More than One Reporting  
Person

**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)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Class A common stock	12/01/2014		C <sup>(1)</sup>	53,750 A <u>(2)</u>	53,750	I	See Footnote (3)
Class A common stock	12/01/2014		S <sup>(1)(4)</sup>	53,750 D \$ <u>(5)</u>	42.8748 0	I	See Footnote (1)
Class A common stock	12/01/2014		C <sup>(6)</sup>	17,500 A <u>(2)</u>	17,500	I	See Footnote (7)
Class A common	12/01/2014		S <sup>(4)(6)</sup>	17,500 D \$ 42.9063	0	I	See Footnote

Edgar Filing: BROADCOM CORP - Form 4

stock						(8)			(6)
Class A common stock	12/01/2014		C <sup>(9)</sup>	53,750	A	(2)	110,662	I	See Footnote (10)
Class A common stock	12/01/2014		S <sup>(4)(9)</sup>	53,750	D	\$ 42.8635 (11)	56,912 (10)	I	See Footnote (9)
Class A common stock							429,829 (12)	D	

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

**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 control number.**

SEC 1474  
(9-02)

**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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Puts, Calls, Warrants, Options, Convertible Securities, etc. (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title	Amount or Number of Shares
Class B common stock	(2)	12/01/2014		C <sup>(1)</sup>	53,750	(2) (2)	Class A common stock	53,750
Class B common stock	(2)	12/01/2014		C <sup>(6)</sup>	17,500	(2) (2)	Class A common stock	17,500
Class B common stock	(2)	12/01/2014		C <sup>(9)</sup>	53,750	(2) (2)	Class A common stock	53,750
Class B common stock	(2)					(2) (2)	Class A common stock	913,473

## Reporting Owners

Reporting Owner Name / Address Relationships

Reporting Owners

# Edgar Filing: BROADCOM CORP - Form 4

Director    10% Owner    Officer

Other

SAMUELI HENRY

5300 CALIFORNIA AVENUE    X

Chairman of the Board and CTO

IRVINE, CA 92617

## Signatures

/s/ Henry Samueli,  
Ph.D.

12/01/2014

\_\_Signature of Reporting  
Person

Date

## Explanation of Responses:

- \* 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).
- (1) Such transaction was effected by HS Portfolio L.P. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.
- (2) Each share of Class B common stock is convertible at any time into one share of Class A common stock at the option of the holder.
- (3) Held by HS Portfolio L.P. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.
- (4) The shares covered by this Form 4 are being sold pursuant to a Rule 10b5-1 Sales Plan, which is intended to comply with Rule 10b5-1 of the Securities Exchange Act of 1934, as amended.
- (5) Such transaction was executed in multiple trades at prices ranging from \$42.56 to \$43.06. The price reported reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.
- (6) Such transaction was effected by H&S Portfolio II L.P., an entity owned by the Henry Samueli Lifetime Benefit Trust, for which trust the Reporting Person is trustee and beneficiary.
- (7) Held by H&S Portfolio II L.P., an entity owned by the Henry Samueli Lifetime Benefit Trust, for which trust the Reporting Person is trustee and beneficiary.
- (8) Such transaction was executed in multiple trades at prices ranging from \$42.65 to \$43.06. The price reported reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.
- (9) Such transaction was effected by H&S Investments I L.P., an entity owned by the Shiloh Trust, for which trust the Reporting Person is co-trustee and co-beneficiary.
- (10) Held by H&S Investments I L.P., an entity owned by the Shiloh Trust, for which trust the Reporting Person is co-trustee and co-beneficiary.
- (11) Such transaction was executed in multiple trades at prices ranging from \$42.54 to \$43.06. The price reported reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.
- (12) Includes (i) 15,765 shares that are held as Class A common stock and (ii) 414,064 shares in the form of restricted stock units that will entitle the Reporting Person to receive one share of Class A common stock per restricted stock unit.
- (13) Held by HS Management, L.P. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.