

SAMUELI HENRY
Form 5
December 08, 2017

FORM 5

OMB APPROVAL

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

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).
Form 3 Holdings Reported Form 4 Transactions Reported

ANNUAL 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

1. Name and Address of Reporting Person *
SAMUELI HENRY

(Last) (First) (Middle)

2. Issuer Name and Ticker or Trading Symbol
Broadcom Ltd [AVGO]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

Chief Technical Officer

C/O AVAGO TECHNOLOGIES US INC., 1320 RIDDER PARK DRIVE

(Street)

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)
10/29/2017

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

6. Individual or Joint/Group Reporting

(check applicable line)

SAN JOSE, CA 95131

(City) (State) (Zip)

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) (A) or (D) Price	5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 2270 (9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative	2. Conversion	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if	4. Transaction	5. Number of Derivative	6. Date Exercisable and Expiration Date	7. Title and Amount of Underlying Security
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Security (Instr. 3)	or Exercise Price of Derivative Security		any (Month/Day/Year)	Code (Instr. 8)	Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		(Month/Day/Year)		Title	Am Nun Sha
					(A)	(D)	Date Exercisable	Expiration Date		
Exchangeable Units <u>(1)</u>	Â	04/10/2017	Â	W	2,879	Â	Â <u>(1)</u>	Â <u>(1)</u>	Ordinary Shares, no par value	2
Exchangeable Units <u>(1)</u>	Â	09/19/2017	Â	G ⁽³⁾	Â	2,879	Â <u>(1)</u>	Â <u>(1)</u>	Ordinary Shares, no par value	2
Exchangeable Units <u>(1)</u>	Â	Â	Â	Â	Â	Â	Â <u>(1)</u>	Â <u>(1)</u>	Ordinary Shares, no par value	5
Exchangeable Units <u>(1)</u>	Â	Â	Â	Â	Â	Â	Â <u>(1)</u>	Â <u>(1)</u>	Ordinary Shares, no par value	4
Exchangeable Units <u>(1)</u>	Â	Â	Â	Â	Â	Â	Â <u>(1)</u>	Â <u>(1)</u>	Ordinary Shares, no par value	4
Exchangeable Units <u>(1)</u>	Â	Â	Â	Â	Â	Â	Â <u>(1)</u>	Â <u>(1)</u>	Ordinary Shares, no par value	5,7
Exchangeable Units <u>(1)</u>	Â	Â	Â	Â	Â	Â	Â <u>(1)</u>	Â <u>(1)</u>	Ordinary Shares, no par value	39
Exchangeable Units <u>(1)</u>	Â	Â	Â	Â	Â	Â	Â <u>(1)</u>	Â <u>(1)</u>	Ordinary Shares, no par value	44
Exchangeable Units <u>(1)</u>	Â	Â	Â	Â	Â	Â	Â <u>(1)</u>	Â <u>(1)</u>	Ordinary Shares, no par value	2,7
Exchangeable Units <u>(1)</u>	Â	Â	Â	Â	Â	Â	Â <u>(1)</u>	Â <u>(1)</u>	Ordinary Shares, no par	1

Exchangeable Units <u>(1)</u>	^	^	^	^	^	^	^ <u>(1)</u>	^ <u>(1)</u>	value Ordinary Shares, no par value	5
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Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SAMUELI HENRY C/O AVAGO TECHNOLOGIES US INC. 1320 RIDDER PARK DRIVE SAN JOSE, CA 95131	^ X	^	^ Chief Technical Officer	^

Signatures

/s/ Noelle Matteson, Attorney-in-Fact for Henry Samueli 12/08/2017

__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).
- Each Broadcom Cayman LP exchangeable unit ("the Exchangeable Unit") is convertible, at the holder's election, at any time after February 1, 2017, into ordinary shares of the Issuer or a cash amount equal to a prescribed cash amount determined by reference to the weighted average trading price of the Issuer's ordinary shares on NASDAQ for the trading day ending on the last business day prior to the date on which an exchange notice is delivered, at the sole discretion of the Issuer, as the general partner of Broadcom Cayman LP. This conversion right has no expiration date.
- (1) Each Broadcom Cayman LP exchangeable unit ("the Exchangeable Unit") is convertible, at the holder's election, at any time after February 1, 2017, into ordinary shares of the Issuer or a cash amount equal to a prescribed cash amount determined by reference to the weighted average trading price of the Issuer's ordinary shares on NASDAQ for the trading day ending on the last business day prior to the date on which an exchange notice is delivered, at the sole discretion of the Issuer, as the general partner of Broadcom Cayman LP. This conversion right has no expiration date.
 - (2) Directly held by the Eisenberg 2005 Revocable Trust for which the Reporting Person's spouse is trustee and acquired dispositive power over these Exchangeable Units upon death of the initial trustee (the Reporting Person's mother-in-law).
 - (3) Charitable gifts by the Eisenberg 2005 Revocable Trust.
 - (4) Indirectly held by Henry Samueli 2016 GRAT through ownership of membership interests in HS REU, LLC, the direct holder of the Exchangeable Units.
Indirectly held by Susan Faye Samueli 2016 GRAT, a trust for the benefit of the Reporting Person's spouse, through ownership of membership interests in SFS REU, LLC, the direct holder of the Exchangeable Units. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.
 - (6) Directly held by HS Portfolio L.P. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.
 - (7) Directly held by HS Management, L.P. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.
 - (8) Directly held by H&S Portfolio II L.P. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.
 - (9) Directly held by H&S Investments I L.P. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.
 - (10) Directly held by H&S Ventures LLC. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.
 - (11)

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Indirectly held by Samueli 1995 Exempt Gifting Trust. The Reporting Person disclaims beneficial ownership of these securities except to the extent of his pecuniary interest therein.

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