

ROGERS ALEXANDER H
Form 4
November 21, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
ROGERS ALEXANDER H

2. Issuer Name and Ticker or Trading Symbol
QUALCOMM INC/DE [QCOM]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
5775 MOREHOUSE DR.

3. Date of Earliest Transaction (Month/Day/Year)
11/20/2018

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

EVP & President, QTL

(Street)

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

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

SAN DIEGO, CA 92121-1714

(City) (State) (Zip)

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock | 11/20/2018 | | M | | 7,001 | A | \$ 0 |
| Common Stock | 11/20/2018 | | M | | 5,766 | A | \$ 0 |
| Common Stock | 11/20/2018 | | M | | 7,380 | A | \$ 0 |
| Common Stock | 11/20/2018 | | M | | 12,242 | A | \$ 0 |
| Common Stock | 11/20/2018 | | F | | 2,421 | D | \$ 54.92 |
| | | | | | | | 11,345 |
| | | | | | | | 17,111 |
| | | | | | | | 24,491 |
| | | | | | | | 36,733 |
| | | | | | | | 34,312 |

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| | | | | | | | |
|--------------|------------|---|-------|---|----------|--------|---|
| Common Stock | 11/20/2018 | F | 1,994 | D | \$ 54.92 | 32,318 | D |
| Common Stock | 11/20/2018 | F | 3,298 | D | \$ 54.92 | 29,020 | D |
| Common Stock | 11/20/2018 | F | 6,645 | D | \$ 54.92 | 22,375 | D |

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

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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 Underlying Security (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title |
| Restricted Stock Unit | <u>(1)</u> | 11/20/2018 | | M | 5,766.792 | <u>(2)</u> 11/20/2018 <u>(2)</u> | Common Stock |
| Restricted Stock Unit | <u>(1)</u> | 11/20/2018 | | M | 7,001.2533 | <u>(3)</u> 11/20/2019 <u>(3)</u> | Common Stock |
| Restricted Stock Unit | <u>(1)</u> | 11/20/2018 | | M | 7,380.1507 | <u>(4)</u> 11/20/2019 <u>(4)</u> | Common Stock |
| Restricted Stock Unit | <u>(1)</u> | 11/20/2018 | | M | 12,242.6079 | <u>(5)</u> 11/20/2020 <u>(5)</u> | Common Stock |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|----------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| ROGERS ALEXANDER H 5775 MOREHOUSE DR. SAN DIEGO, CA 92121-1714 | | | EVP & President, QTL | |

Signatures

By: Jane Borneman, Attorney-in-Fact For: Alexander H. Rogers

11/21/2018

 **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) Each Restricted Stock Unit is the economic equivalent of one share of Qualcomm common stock and is converted into common stock upon vesting.
- (2) The Restricted Stock Units (and allocable dividend equivalents) vest in equal one-third amounts on November 20, 2016, 2017 and 2018.
- (3) The Restricted Stock Units (and allocable dividend equivalents) vest in equal one-fourth amounts on November 20, 2016, 2017, 2018 and 2019.
- (4) The Restricted Stock Units (and allocable dividend equivalents) vest in equal one-third amounts on November 20, 2017, 2018 and 2019.
- (5) The Restricted Stock Units (and allocable dividend equivalents) vest in equal one-third amounts on November 20, 2018, 2019 and 2020.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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