

Broadcom Ltd  
Form 3  
April 01, 2016

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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## INITIAL STATEMENT OF 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 \*

Â Krause Thomas H.  
(Last) (First) (Middle)

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

(Street)

SAN JOSE,Â CAAÂ 95131

(City) (State) (Zip)

2. Date of Event Requiring  
Statement

(Month/Day/Year)  
03/24/2016

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

4. Relationship of Reporting  
Person(s) to Issuer

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

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_X\_\_ Officer \_\_\_\_ Other  
(give title below) (specify below)  
Acting CFO & Principal Fin Ofcr

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 - Non-Derivative Securities Beneficially Owned

1. Title of Security  
(Instr. 4)

2. Amount of Securities  
Beneficially Owned  
(Instr. 4)

3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)

4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)

Ordinary Shares, no par value

34,500 <sup>(1)</sup>

D Â

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

SEC 1473 (7-02)

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information contained in this form are not  
required to respond unless the form displays a  
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### Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security  
(Instr. 4)

2. Date Exercisable and  
Expiration Date  
(Month/Day/Year)

3. Title and Amount of  
Securities Underlying  
Derivative Security  
(Instr. 4)

4. Conversion  
or Exercise  
Price of  
Derivative

5. Ownership  
Form of  
Derivative  
Security:

6. Nature of Indirect  
Beneficial  
Ownership  
(Instr. 5)

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|   | Date<br>Exercisable | Expiration<br>Date | Title                               | Amount or<br>Number of<br>Shares | Security | Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) |   |
|---|---------------------|--------------------|-------------------------------------|----------------------------------|----------|--|---|
| Performance Based<br>Restricted Stock Units | Â (2)               | Â (3)              | Ordinary<br>Shares, no<br>par value | 10,000                           | \$ 0     | D  | Â |
| Performance Based<br>Restricted Stock Units | Â (4)               | Â (5)              | Ordinary<br>Shares, no<br>par value | 10,000                           | \$ 0     | D  | Â |
| Stock Option (Right to<br>Buy)              | Â (6)               | 03/10/2021         | Ordinary<br>Shares, no<br>par value | 45,000                           | \$ 62.02 | D  | Â |
| Stock Option (Right to<br>Buy)              | Â (7)               | 03/11/2020         | Ordinary<br>Shares, no<br>par value | 6,000                            | \$ 35.45 | D  | Â |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |                                   |       |
|--|---------------|-----------|-----------------------------------|-------|
|  | Director      | 10% Owner | Officer                           | Other |
| Krause Thomas H.<br>C/O AVAGO TECHNOLOGIES US INC.<br>1320 RIDDER PARK DRIVE<br>SAN JOSE, CA 95131 | Â             | Â         | Â Acting CFO & Principal Fin Ofcr | Â     |

## Signatures

/s/ Rebecca Boyden, Attorney-in-Fact for Thomas H. Krause

04/01/2016

\_\_Signature of Reporting Person

Date

## Explanation of Responses:

\* 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).

(1) Represents 34,500 Restricted Stock Units ("RSUs").

(2) Share price performance RSU (the "2016 Performance RSU") granted on March 15, 2016 pursuant to the Avago Technologies Limited 2009 Equity Incentive Award Plan (the "Avago Plan"). The 2016 Performance RSU vests over four years, with 25% vesting on each anniversary of the date of grant. However, no portion of the 2016 Performance RSU shall vest unless and until the average of the closing prices of the Issuer's ordinary shares (as reported on the stock exchange on which the shares are listed), over a twenty consecutive trading day period is equal to or greater than 120% of the fair market value of the Issuer's ordinary shares on the date of grant (the "Price Contingency").

(3) In the event that the Price Contingency is not met on or prior to the earlier of the fourth anniversary of the March 15, 2016, or the Reporting Person's termination of services with the Issuer, all 2016 Performance RSUs subject to the award which have not previously vested shall immediately be forfeited.

(4) Share price performance RSU (the "2015 Performance RSU") granted on March 15, 2015 pursuant to the Avago Plan. The 2015 Performance RSU vests over four years, with 25% vesting on each anniversary of the date of grant. However, no portion of the 2015 Performance RSU shall vest unless and until the Price Contingency is met.

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- In the event that the Price Contingency is not met on or prior to the earlier of the fourth anniversary of March 15, 2015, or the Reporting Person's termination of services with the Issuer, all 2015 Performance RSUs subject to the award which have not previously vested shall immediately be forfeited.
- (5)

- Share price performance option (the "2014 Option") granted on March 11, 2014 pursuant to the Avago Plan. The 2014 Option vests over four years, with 25% vesting on each anniversary of the date of grant, such that the 2014 Option will be fully vested on March 11, 2018, subject to the Reporting Person's continuing service on each vesting date. The exercisability requirements for the 2014 Option have been met.
- (6)

- Share price performance option (the "2013 Option") granted on March 12, 2013 pursuant to the Avago Plan. The 2013 Option vests over four years, with 25% vesting on each anniversary of the date of grant, such that the 2013 Option will be fully vested on March 12, 2017, subject to the Reporting Person's continuing service on each vesting date. The exercisability requirements for the 2013 Option have been met.
- (7)

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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