Louvet Eric Form 3 February 13, 2019

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

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**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 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement HARMONIC INC [HLIT] Louvet Eric (Month/Day/Year) 02/06/2019 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 4300 NORTH FIRST STREET (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner Director \_X\_ Form filed by One Reporting \_X\_\_ Officer Other Person (give title below) (specify below) SAN JOSE, CAÂ 95134 Form filed by More than One SVP Sales NA & APAC Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned

2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) D Â Common Stock 52,452

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

SEC 1473 (7-02)

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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		4. Conversion or Exercise	5. Ownership Form of	6. Nature of Indirect Beneficial Ownership
			(Instr. 4)		Price of	Derivative	(Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of	Derivative	Security:	
					Security	Direct (D)	
						or Indirect	

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				Shares		(I) (Instr. 5)	
Restricted Stock Units	03/01/2017(2)	03/01/2020	Common Stock	45,000	\$ 0	D	Â
Restricted Stock Units	02/15/2018(3)	02/15/2019	Common Stock	1,250	\$ 0	D	Â
Restricted Stock Units	02/15/2019(4)	02/15/2021	Common Stock	50,000	\$ 0	D	Â

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
rioporomg o when realize and realized	Director 10% Owner		Officer	Other		
Louvet Eric 4300 NORTH FIRST STREET SAN JOSE Â CAÂ 95134	Â	Â	SVP Sales NA & APAC	Â		

## **Signatures**

/s/ Laura Donovan By Laura Donovan, Attorney-in-Fact

02/13/2019

\*\*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) Each restricted stock unit represents a contingent right to receive one share of HLIT common stock.
- (2) Twenty five percent of the shares subject to the restricted stock units vested on March 1, 2017 and on March 1, 2018, and twenty five percent of the shares subject to the restricted stock units vest annually thereafter so as to be 100% vested on March 1, 2020.
- (3) Fifty percent of the Shares subject to the Restricted Stock Units vested on February 15, 2018, and twenty five percent of the Restricted Stock Units are scheduled to vest quarterly thereafter so as to be 100% vested on February 15, 2019.
- (4) Thirty three percent of the Shares subject to the Restricted Stock Unit (RSU) Grant are scheduled to vest February 15, 2019, and equal increments of the Shares subject to the RSU are scheduled to vest quarterly thereafter, until 100% vested as of February 15, 2021.

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.

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