

HARMONIC INC
Form 4
February 04, 2015

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 *
Haltmayer Neven

(Last) (First) (Middle)

4300 NORTH FIRST STREET

(Street)

SAN JOSE, CA 95134

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
HARMONIC INC [HLIT]

3. Date of Earliest Transaction (Month/Day/Year)
02/02/2015

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)

Sr. Vice President, R&D

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 Ownership (Instr. 4)
				(A) or (D)	Price		
Common Stock	02/02/2015		M	78,000 A	\$ 5.63	87,560	D
Common Stock	02/02/2015		S	78,000 D	\$ 7.6584	9,560	D
Common Stock	02/02/2015		M	38,000 A	\$ 6.41	47,560	D
Common Stock	02/02/2015		S	38,000 D	\$ 7.6584	9,560	D
Common Stock	02/03/2015		M	30,000 A	\$ 6.41	39,560	D

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Common Stock	02/03/2015	S	30,000	D	\$ 7.7374	9,560	D
Common Stock	02/04/2015	M	10,000	A	\$ 6.41	19,560	D
Common Stock	02/04/2015	S	10,000	D	\$ 7.7652	9,560	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.

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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 Amount of Underlying Securities (Instr. 3 and 4)	Amount or Number of Shares
Right to buy	\$ 5.63	02/02/2015		M	78,000	02/15/2010 ⁽¹⁾ 02/24/2016	Common Stock	78,000
Right to buy	\$ 6.41	02/02/2015		M	38,000	02/15/2011 ⁽²⁾ 02/19/2017	Common Stock	38,000
Right to buy	\$ 6.41	02/03/2015		M	30,000	02/15/2011 ⁽³⁾ 02/19/2017	Common Stock	30,000
Right to buy	\$ 6.41	02/04/2015		M	10,000	02/15/2011 ⁽⁴⁾ 02/19/2017	Common Stock	10,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Haltmayer Neven 4300 NORTH FIRST STREET SAN JOSE, CA 95134			Sr. Vice President, R&D	

