

Avago Technologies LTD
Form 4
September 17, 2013

FORM 4

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

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

**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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
TAN HOCK E

(Last) (First) (Middle)

**C/O AVAGO TECHNOLOGIES US
INC., 350 WEST TRIMBLE ROAD**

(Street)

SAN JOSE, CA 95131

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
Avago Technologies LTD [AVGO]

3. Date of Earliest Transaction
(Month/Day/Year)
09/13/2013

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)

President and CEO

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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(D)	Price

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

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information contained in this form are not
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SEC 1474
(9-02)

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

1. Title of Derivative Security	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of Derivative Securities	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount Underlying Securities (Instr. 3 and 4)
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(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)							
			Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount Number Shares	
Employee Stock Options (right to buy)	\$ 38.99	09/13/2013	A		1,750,000		<u>(1)(2)</u>	09/12/2020	Ordinary Shares	1,750,000	

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
TAN HOCK E C/O AVAGO TECHNOLOGIES US INC. 350 WEST TRIMBLE ROAD SAN JOSE, CA 95131	X		President and CEO	

Signatures

/s/ Patricia H. McCall, Attorney-in-Fact for Hock
E. Tan

09/17/2013

 **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) Share price performance option (the "Option") granted pursuant to the Avago Technologies Limited 2009 Equity Incentive Award Plan. The Option vests over four years, with 25% vesting on each anniversary of the date of grant, based on the Reporting Person's continued service to the Company; however, the Option will only become exercisable as to any tranche thereof if the relevant Price Contingency for such tranche is or has been achieved. The "Price Contingency" for each tranche of the Option shall mean the date on which the average of the closing prices of the Company's ordinary shares (as reported on the stock exchange on which the shares are listed) over a 30 consecutive trading-day period (the "30-Day Average Price") is equal to or greater than the following: 350,000 shares become exercisable at a 30-Day Average Price of \$50.00 per share, 350,000 shares become exercisable at a 30-Day Average Price of \$56.75 per share, (continued on Footnote 2)

(2) (continued) 350,000 shares become exercisable at a 30-Day Average Price of \$62.50 per share, 350,000 shares become exercisable at a 30-Day Average Price of \$68.75 per share and 350,000 shares become exercisable at 30-Day Average Price of \$75.00 per share. The satisfaction of a particular Price Contingency with respect to the Option shall also constitute satisfaction of all other Price Contingencies for the Option having a lower 30-Day Average Price.

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.