

Avago Technologies LTD
Form 3
August 05, 2009

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 TAN HOCK E

(Last) (First) (Middle)

C/O AVAGO TECHNOLOGIES
LIMITED,Â 350 WEST
TRIMBLE ROAD

(Street)

SAN JOSE,Â CAA 95131

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

08/05/2009

3. Issuer Name **and** Ticker or Trading Symbol
Avago Technologies 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

☒ Officer ☐ Other
(give title below) (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 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	100,000	D	Â
Ordinary Shares	50,000	I	By Trust ⁽¹⁾
Ordinary Shares	50,000	I	By Trust ⁽²⁾
Ordinary Shares	50,000	I	By Trust ⁽³⁾
Ordinary Shares	50,000	I	By Trust ⁽⁴⁾

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 (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Stock Options (right to buy)	Â (5)	04/12/2016	Ordinary Shares	925,000	\$ 5
Stock Options (right to buy)	Â (6)	04/12/2016	Ordinary Shares	1,425,000	\$ 5
Stock Options (right to buy)	Â (7)	03/02/2019	Ordinary Shares	300,000	\$ 10

Reporting Owners

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

Signatures

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

08/05/2009

__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) Shares held for the benefit of the Reporting Person's child by Robert M. Mitchell as Trustee for the Irrevocable Trust Agreement FBO J. Douglas Tan, dated January 31, 2003.
- (2) Shares held for the benefit of the Reporting Person's child by Robert M. Mitchell as Trustee for the Irrevocable Trust Agreement FBO J. Nicholas Tan, dated January 31, 2003.
- (3) Shares held for the benefit of the Reporting Person's child by Robert M. Mitchell as Trustee for the Irrevocable Trust Agreement FBO Y. Eva Tan, dated January 31, 2003.
- (4) Shares held by K. Lisa Yang as Trustee for the K. Lisa Yang and Hock E. Tan Dynasty Trust, dated June 17, 2004.
- (5) Option vests with respect to 20% of the shares subject thereto on each anniversary of December 1, 2005, such that the option will be fully vested and exercisable on December 1, 2010.
- (6) Option is exercisable with respect to 855,000 of the shares subject thereto. The remaining balance vests in two (2) successive and equal annual installments commencing on December 1, 2011, such that the option will be fully vested and exercisable on December 1, 2012.
- (7) Option vests with respect to 20% of the shares subject thereto on each anniversary of March 3, 2009, such that the option will be fully vested and exercisable on March 3, 2014.

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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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