**MAXLINEAR INC** 

Form 4 May 21, 2015

# 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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Form 5 obligations may continue. See Instruction

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

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \* SEENDRIPU KISHORE

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

MAXLINEAR INC [MXL] 3. Date of Earliest Transaction

(Check all applicable)

**OMB APPROVAL** 

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

(First) 5966 LA PLACE COURT, SUITE

(Month/Day/Year) 05/19/2015

(Middle)

\_X\_\_ 10% Owner \_X\_\_ Director X\_ Officer (give title \_ Other (specify below)

100

President and CEO

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check Applicable Line)

(Street) Filed(Month/Day/Year)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

CARLSBAD, CA 92008

| (City)  | (State)                                 | (Zip) Tabl  | e I - Non-D              | erivative S | Securi           | ties Acqu   | ired, Disposed of                              | , or Beneficiall                                      | ly Owned |
|---|---|---|--------------------------|-------------|------------------|---|--|---|----------|
| 1.Title of<br>Security<br>(Instr. 3)                  | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | Code (Instr. 3, 4 and 5) |             |                  | Beneficially Form: Direct (I) Owned (D) or Following Indirect (I) | Ownership<br>Form: Direct                      | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |          |
|   |   |   | Code V                   | Amount      | (A)<br>or<br>(D) | Price   | Reported<br>Transaction(s)<br>(Instr. 3 and 4) | (IIISU: 4)  |          |
| Class A Common Stock (par value \$0.0001)             | 05/20/2015                              |   | M                        | 22,487      | A                | \$ 0  | 213,648  | D   |          |
| Class A<br>Common<br>Stock (par<br>value<br>\$0.0001) | 05/20/2015                              |   | F                        | 22,487      | D                | \$<br>10.06   | 191,161  | D   |          |

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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.

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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transactio<br>Code<br>(Instr. 8) | 5. Number of 6. Date Exercis Expiration Date (Month/Day/Ye (D) (Instr. 3, 4, and 5) |       | ate                 | 7. Title and Amour Underlying Securit (Instr. 3 and 4) |   |                    |
|---|---|---|---|--|---|-------|---------------------|--|---|--------------------|
|   |   |   |   | Code V                                 | (A)   | (D)   | Date<br>Exercisable | Expiration<br>Date                                     | Title   | Amo<br>Num<br>Shar |
| Restricted<br>Stock<br>Units                        | (1)   | 05/19/2015                              |   | A                                      | 135,000   |       | (2)                 | 05/20/2019   | Class A Common Stock (par value \$0.0001)             | 135                |
| Restricted<br>Stock<br>Units                        | <u>(1)</u>  | 05/20/2015                              |   | M                                      |   | 2,818 | (3)                 | 05/20/2015   | Class A<br>Common<br>Stock<br>(par value<br>\$0.0001) | 2,8                |
| Restricted<br>Stock<br>Units                        | (1)   | 05/20/2015                              |   | M                                      |   | 9,395 | <u>(4)</u>          | 05/20/2016   | Class A<br>Common<br>Stock<br>(par value<br>\$0.0001) | 9,3                |
| Restricted<br>Stock<br>Units                        | (1)   | 05/20/2015                              |   | M                                      |   | 8,175 | <u>(5)</u>          | 05/20/2017   | Class A<br>Common<br>Stock<br>(par value<br>\$0.0001) | 8,1                |
| Restricted<br>Stock<br>Units                        | <u>(1)</u>  | 05/20/2015                              |   | M                                      |   | 2,099 | <u>(6)</u>          | 05/20/2018   | Class A<br>Common<br>Stock<br>(par value<br>\$0.0001) | 2,0                |

# **Reporting Owners**

| Reporting Owner Name / Address | Keiationships |           |         |       |  |  |  |
|--------------------------------|---------------|-----------|---------|-------|--|--|--|
|                                | Director      | 10% Owner | Officer | Other |  |  |  |

Reporting Owners 2

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SEENDRIPU KISHORE 5966 LA PLACE COURT SUITE 100 CARLSBAD, CA 92008

X Y President and CEO

## **Signatures**

/s/ Adam Spice, as Attorney-in-Fact

05/21/2015

\*\*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) Each restricted stock unit ("RSU") represents a contingent right to receive one share of MaxLinear, Inc. Class A Common Stock.
- Subject to the Reporting Person's continuing to be a Service Provider (as defined in the 2010 Equity Incentive Plan) through each applicable vesting date, one-sixteenth (1/16th) of the RSUs subject to the award shall vest on August 20, 2015, and an additional one-sixteenth of the RSUs subject to the award shall vest on each successive November 20, February 20, May 20, and August 20 thereafter, such that the award shall be fully vested on May 20, 2019.
- Subject to the Reporting Person's continuing to be a Service Provider (as defined in the 2010 Equity Incentive Plan) through each applicable vesting date, twenty five percent (25%) of the 30,000 RSUs subject to the award shall vest on May 20, 2012, and twenty five percent (25%) of the 30,000 RSUs subject to the award vest on each successive anniversary thereafter, such that the award shall be fully vested on May 20, 2015.
- Subject to the Reporting Person's continuing to be a Service Provider (as defined in the 2010 Equity Incentive Plan) through each applicable vesting date, twenty five percent (25%) of the 100,000 RSUs subject to the award shall vest on May 20, 2013, and an additional twenty five percent (25%) of the 100,000 RSUs subject to the award shall vest on each successive anniversary thereafter, such that the award shall be fully vested on May 20, 2016.
- Subject to the Reporting Person's continuing to be a Service Provider (as defined in the 2010 Equity Incentive Plan) through each applicable vesting date, twenty five (25%) of the 87,025 RSUs subject to the award shall vest on May 20, 2014, and an additional twenty five percent (25%) shall vest on each successive anniversary thereafter, such that the award shall be fully vested on May 20, 2017.
- Subject to the Reporting Person's continuing to be a Service Provider (as defined in the 2010 Equity Incentive Plan) through each applicable vesting date, one-sixteenth (1/16th) of the 89,382 RSUs subject to the award shall vest on August 20, 2014, and an additional one-sixteenth of the RSUs subject to the award shall vest on each successive November 20, February 20, May 20, and August 20 thereafter, such that the award shall be fully vested on May 20, 2018.

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.

Signatures 3