SEC Form 3

FORM 3

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

OMB APPROVAL

OMB Number: 3235-0104 Estimated average burden hours per response: 0.5

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person <sup>*</sup> Raja Prabu G.	2. Date of Event Requiring Stater (Month/Day/Yea 11/06/2017	nent	3. Issuer Name and Ticker or Trading Symbol <u>APPLIED MATERIALS INC /DE</u> [ AMAT ]				
(Last) (First) (Middle) C/O APPLIED MATERIALS, INC. 3050 BOWERS AVE., M/S 1268, PO BOX 58039			4. Relationship of Reporting Perso (Check all applicable) Director X Officer (give title below) SVP, Semi, Product	10% Owne Other (spe below)	er cify	Month/Day/Year)	ate of Original Filed t/Group Filing (Check
(Street) SANTA CA 95054			ovi, ocim, riodace	5 Group			y One Reporting Person y More than One erson
(City) (State) (Zip)							
Table I - Non-Derivative Securities Beneficially Owned							
1. Title of Security (Instr. 4)			Amount of Securities eneficially Owned (Instr. 4)			4. Nature of Indirect Beneficial Ownership (Instr. 5)	
Common Stock			339,144 <sup>(1)</sup>	D			
Common Stock			4,403.965	I		By 401(k) Plan	
Table II - Derivative Securities Beneficially Owned   (e.g., puts, calls, warrants, options, convertible securities)							
Ex		cisable and ate Year)	3. Title and Amount of Securit Underlying Derivative Securit			rcise Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
Evaluation of Pesponses:	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivativ Security		

1. Number of shares includes 231,906 performance shares and restricted stock units that in the future will be converted on a one-for-one basis into shares of Applied Materials, Inc. common stock upon vesting, which vesting is scheduled to occur as follows: (a) 10,000 restricted stock units are scheduled to vest in January 2018, (b) 10,000 restricted stock units are scheduled to vest in occupied to vest in constant of a performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of each of 2017 through 2019, (d) 69,408 performance shares are scheduled to vest in installments in December of with up to an additional 46,272 shares that may vest, depending on achievement of specified performance goals, (e) 51,911 performance shares are scheduled to vest in December 2019, which number of shares is the target amount, and the actual number of shares that may vest ranges from 0% to 200% of the target amount, depending on achievement of specified performance goals, and (f) 51,911 restricted stock units are scheduled to vest in installments in December of each of 2017 through 2019, depending on achievement of a specified performance goal (all vesting is subject to continued employment through each applicable vest date).

> /s/ Harpreet S. Bal, Attorney-11/08/2017

in-Fact

\*\* Signature of Reporting Person Date

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

\* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.

The undersigned hereby constitutes and appoints each of Thomas F. Larkins, Harpreet S. Bal, Christina Lai and To-Anh Nguyen, signing singly, the undersigned?s true and lawful attorney-in-fact to:

(1) execute for and on behalf of the undersigned, in the undersigned?s capacity as an executive officer of Applied Materials, Inc. (the ?Company?), Forms 3, 4 and 5 in accordance with Section 16(a) of the Securities Exchange Act of 1934 and the rules thereunder;

(2) do and perform any and all acts for and on behalf of the undersigned which may be necessary or desirable to complete and execute any such Form 3, 4 or 5, complete and execute any amendment(s) thereto, and timely file such form with the United States Securities and Exchange Commission and any stock exchange or similar authority; and

(3) take any other action of any type whatsoever in connection with the foregoing which, in the opinion of such attorney-in-fact, may be of benefit to, in the best interest of, or legally required by, the undersigned, it being understood that the documents executed by such attorney-in-fact on behalf of the undersigned pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions as such attorney-in-fact may approve in such attorney-in-fact?s discretion.

The undersigned hereby grants to each such attorney-in-fact full power and authority to do and perform any and every act and thing whatsoever requisite, necessary or proper to be done in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as the undersigned might or could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that such attorney-in-fact, or such attorney-in-fact?s substitute or substitutes, shall lawfully do or cause to be done by virtue of this Power of Attorney and the rights and powers herein granted. The undersigned acknowledges that the foregoing attorneys-in-fact, in serving in such capacity at the request of the undersigned, are not assuming, nor is the Company assuming, any of the undersigned?s responsibilities to comply with Section 16 of the Securities Exchange Act of 1934.

This Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Forms 3, 4 and 5 with respect to the undersigned?s holdings of and transactions in securities issued by the Company, unless earlier revoked by the undersigned in a signed writing delivered to the foregoing attorneys-in-fact.

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this 1st day of November, 2017.

/s/ Prabu G. Raja Prabu G. Raja