SEC Form 4

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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

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

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1. Name and Address Rothberg Rich	1 0	*	2. Issuer Name and Ticker or Trading Symbol <u>Dell Technologies Inc</u> [DELL]		ionship of Reporting Person(s) to Issuer all applicable) Director 10% Owner Officer (give title Other (specify below) below)		
L (Last) (Eirst) (Middle) L			3. Date of Earliest Transaction (Month/Day/Year) 06/28/2019		General Counsel & S	,	
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	dual or Joint/Group Filing (Check Applicable	
ROUND ROCK	ТХ	78682		X	Form filed by One Report	с -	
(City)	(State)	(Zip)			Form filed by More than C Person	One Reporting	

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. Transa Code (8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1130.4)
Class C Common Stock	06/28/2019		M ⁽¹⁾		73,120	Α	\$13.75	149,674	D	
Class C Common Stock	06/28/2019		S ⁽¹⁾		70,720	D	\$51.18 ⁽²⁾	78,954	D	
Class C Common Stock	06/28/2019		S ⁽¹⁾		2,400	D	\$51.91 ⁽³⁾	76,554	D	

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. Transa Code (8)		of E		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Options to Acquire Class C Common Stock	\$13.75	06/28/2019		М			73,120	(4)	11/25/2023	Class C Common Stock	73,120	\$0	1,273,092 ⁽⁵⁾	D	

Explanation of Responses:

1. The transactions reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan.

2. The price reported in Column 4 represents a weighted average sales price of \$51.177. These shares were sold in multiple transactions at prices ranging from \$50.66 to \$51.65, inclusive. The reporting person undertakes to provide to Dell Technologies Inc., any security holder of Dell Technologies Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each price within the range set forth in footnotes 2 and 3 to this Form 4.

3. The price reported in Column 4 represents a weighted average sales price of \$51.908. These shares were sold in multiple transactions at prices ranging from \$51.66 to \$52.54, inclusive.

4. The options are fully vested.

5. Consists of 687,273 time-based options and 585,819 performance-based options.

Remarks:

/s/ Robert Potts, Attorney-in-

Fact

07/02/2019

Date

** Signature of Reporting Person

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 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).

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.