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 <u>Rothberg Rich</u> | 1 0 | 1* | 2. Issuer Name and Ticker or Trading Symbol <u>Dell Technologies Inc</u> [DELL] | (Check | tionship of Reporting Pers all applicable) Director Officer (give title | son(s) to Issuer 10% Owner Other (specify |
|---|---------------|----------------|---|------------------------|--|---|
| (Last) ONE DELL WAY | (First) ζ | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year) 06/20/2019 | | below) General Counsel & | below) |
| (Street) ROUND ROCK (City) | TX (State) | 78682 (Zip) | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Indiv Line) X | idual or Joint/Group Filing Form filed by One Repo Form filed by More than Person | rting 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) | Transaction Code (Instr. | | | | | 5. Amount of Securities Beneficially Owned Following Reported | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership |
|---------------------------------|--|---|-----------------------------|---|--------|---------------|---------------------------|---|---|---|
| | | | Code | v | Amount | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | (Instr. 4) |
| Class C Common Stock | 06/20/2019 | | C ⁽¹⁾ | | 15,422 | Α | \$0 ⁽²⁾ | 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 | | 6. Date Exerc Expiration Da (Month/Day/\ | ate | 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) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---|---|--|---|------------------------------|---|----|--------|--|--------------------|---|--|---|--|--|--|
| | | | | Code | v | | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | (Instr. 4) | | |
| Class A Common Stock | \$0 ⁽²⁾ | 06/20/2019 | | С | | | 15,422 | (2) | (2) | Class C Common Stock | 15,422 | \$0 ⁽²⁾ | 0 | D | |

Explanation of Responses:

1. Represents conversion of 15,422 shares of Class A Common Stock into an equal number of shares of Class C Common Stock.

2. Each share of Class A Common Stock is convertible into one share of Class C Common Stock at any time at the holder's election.

Remarks:

/s/ Robert Potts, Attorney-in-Fact 06/24/2019

** 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 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.