Mubadala Investment Co PJSC

Form 4

February 07, 2019

## FORM 4

#### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** 

3235-0287 Number:

**OMB APPROVAL** 

January 31, Expires: 2005

Estimated average burden hours per response... 0.5

5. Relationship of Reporting Person(s) to

Issuer

Check this box if no longer subject to Section 16. Form 4 or 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

2. Issuer Name and Ticker or Trading

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \*

Mubadala Investment Co PJSC

| Mudadaia                             | mvestment co i s                     | 130   | ADVA<br>INC [A                                   |  | MICRO DEV  | ICES    | 1550  | (Check a   | ıll applicable)  |   |  |
|--------------------------------------|--------------------------------------|---|--|--|--|---------|---|--|--|---|--|
| (Last)                               | (First)                              | (Middle)  | 3. Date of Earliest Transaction (Month/Day/Year) |  |  | _       | _X Director 10% Owner Officer (give title Other (specify lelow) |  |  |   |  |
| P.O. BOX 45005                       |                                      |   | 02/05/2019                                       |  |  |         | beit  | below) below)  |  |   |  |
|                                      |                                      |   |  | Ionth/Day/Year) A                      |  |         |   | 6. Individual or Joint/Group Filing(Check<br>Applicable Line)<br>X_ Form filed by One Reporting Person             |  |   |  |
| ABU DHA                              | ABI, CO UAE                          |   |  |  |  |         | Pers  | Form filed by Moreson  | e than One Rep   | orting  |  |
| (City)                               | (State)                              | (Zip)   | Tal  | ole I - Non-                           | Derivative Sec   | urities | Acquire   | d, Disposed of, o  | r Beneficially   | <b>Owned</b>  |  |
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date (Month/Day/Year) | e 2A. Deeme<br>Execution I<br>any<br>(Month/Day | Date, if   | 3.<br>Transactic<br>Code<br>(Instr. 8) | 4. Securities And Disposed of (Disposed of (Disposed of And (Instr. 3, 4 and | )       | d (A) or  | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
|                                      |                                      |   |  | Code V                                 | Amount   | (D)     | Price   | (IIISU. 3 aliu 4)  |  | C   |  |
| Common<br>Stock                      | 02/05/2019                           |   |  | S                                      | 34,906,166   | D       | \$<br>23.43   | 0  | I  | See footnote  |  |
| Common<br>Stock                      | 02/05/2019                           |   |  | X                                      | 75,000,000   | A       | \$ 5.98   | 75,000,000   | I  | See footnote (1)  |  |

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

#### Edgar Filing: Mubadala Investment Co PJSC - Form 4

# 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 (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | Expiration Date  |                    | 7. Title and Amc<br>Underlying Secu<br>(Instr. 3 and 4) |                |
|---|---|--------------------------------------|---|---|---|------------------|--------------------|---|----------------|
|   |   |                                      |   | Code V                                  | (A) (D)   | Date Exercisable | Expiration<br>Date | Title   | Ar<br>Nu<br>Sh |
| Warrant (right to buy)                              | \$ 5.98   | 02/05/2019                           |   | X                                       | 75,000,000  | 08/30/2016(2)    | 02/29/2020         | Common<br>Stock   | 7:             |

# **Reporting Owners**

| Reporting Owner Name / Address                                     | Relationships |           |         |       |  |  |
|--|---------------|-----------|---------|-------|--|--|
| Transfer and the same  | Director      | 10% Owner | Officer | Other |  |  |
| Mubadala Investment Co PJSC<br>P.O. BOX 45005<br>ABU DHABI, CO UAE | X             |           |         |       |  |  |

### **Signatures**

/s/ Andre C. Namphy, Attorney-in-Fact, by appointment dated as of July 5, 2017

Date

\*\*Signature of Reporting Person

## **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).
- The shares are held on behalf of the Reporting Person by West Coast Hitech L.P., a Cayman Islands limited partnership wholly-owned and controlled by the Reporting Person. West Coast Hitech G.P., Ltd. is a Cayman Islands corporation wholly-owned and controlled by the Reporting Person that acts as the general partner of West Coast Hitech L.P. The business address of West Coast Hitech L.P. and West Coast Hitech G.P., Ltd. is P.O. Box 45005, Abu Dhabi, United Arab Emirates.
- The warrant became exercisable with respect to 50,000,000 shares of common stock of the issuer upon issuance of the warrant, however did not become exercisable with respect to 25,000,000 shares of common stock of the issuer until August 30, 2017. Exercise of the warrant will be settled with proceeds from the sale of Common Stock detailed in Table I.
- The warrant was granted to a subsidiary of the Reporting Person as part of the consideration for a commercial agreement between the issuer and such subsidiary and were subsequently transferred to the Reporting Person by such subsidiary (see Exhibit 10.1 of AMD's Current Report on Form 8-K, filed on August 31, 2016).

#### **Remarks:**

Exhibit List: Exhibit 24 - Power of Attorney (incorporated by reference from Exhibit 99.1 to Amendment No. 8 to Schedule 1

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.

Reporting Owners 2