

SULPIZIO RICHARD  
Form 4  
November 05, 2018

**FORM 4**

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

OMB APPROVAL

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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 OF SECURITIES**

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
SULPIZIO RICHARD

(Last) (First) (Middle)  
520 MADISON AVENUE  
(Street)  
NEW YORK, NY 10022  
(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
CA, INC. [CA]

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/05/2018

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting 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)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership Indirect Beneficial Ownership (Instr. 4)
				(A) or (D)	Code V Amount (D) Price		

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

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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 Derivative Security (Instr. 3)	2. Conversion or Exercise Price of	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount Underlying Securities (Instr. 3 and 4)
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Derivative Security			Code	(D) (Instr. 3, 4, and 5)		Date Exercisable	Expiration Date	Title	Amount Number Shares
				V	(A) (D)				
Deferred Stock Unit <sup>(1)</sup>	\$ 0	11/05/2018 <sup>(2)</sup>	D		61,364.617 <sup>(1)</sup>	<sup>(2)</sup>	11/05/2018	Common Stock, \$.10 par value	61,364.617
Deferred Stock Unit <sup>(4)</sup>	\$ 0	11/05/2018 <sup>(2)</sup>	D		507.958 <sup>(4)</sup>	<sup>(2)</sup>	11/05/2018	Common Stock, \$.10 par value	507.958

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
SULPIZIO RICHARD 520 MADISON AVENUE NEW YORK, NY 10022		X		

## Signatures

/s/Richard Sulpizio by Kristen W. Prohl as Attorney-in-Fact	11/05/2018
__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) Previously issued under the Issuer's Compensation Plans for Non-Employee Directors.
- (2) Disposed of pursuant to the Agreement and Plan of Merger between the Issuer, Broadcom Inc., and Collie Acquisition Corp., dated as of July 11, 2018, in exchange for a cash payment of \$44.50 per share without interest thereon.
- (3) Deferred Stock Units are convertible into Common Stock on a one-for-one basis.
- (4) Issued under the Issuer's Compensation Plans for Non-Employee Directors. This represents the pro-rated amount of Deferred Stock Units for the period between October 1, 2018 to November 5, 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.