SEC Form 4

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

OMB Number:	3235-0287								
Estimated average burden									
hours per response:	0.5								

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

1			Or	Section 30(n) of the	investment C	ompany Act of 1940					
1. Name and Addre			CH	ssuer Name and Tic <u> ARTER CON</u> O/ [CHTR]		Symbol <u>ATIONS, INC.</u>		tionship of Reportir all applicable) Director Officer (give title below)	ssuer Owner (specify /)		
(Last) (First) (Middle) C/O CHARTER COMMUNICATIONS, INC. 400 ATLANTIC STREET				Date of Earliest Trans 29/2021	saction (Month	/Day/Year)		Senior Executive VicePresident			
(Street) STAMFORD	СТ	06901	4. If	Amendment, Date (of Original File	d (Month/Day/Year)	6. Indiv Line) X	ividual or Joint/Group Filing (Check Applicable Form filed by One Reporting Person Form filed by More than One Reporting Person			
(City)	(State)	(Zip)									
		Table I - N	on-Derivative	e Securities Ac	quired, Di	sposed of, or Benefi	cially (Owned			
1 Title of Security	(Instr 3)		2. Transaction	2A. Deemed	3	4. Securities Acquired (A) or		5. Amount of	6. Ownershin	7. Nature of	

1. The of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	ZA. Deemed Execution Date, if any (Month/Day/Year)	Transaction Code (Instr.		4. Securities / Disposed Of (5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or Price		Transaction(s) (Instr. 3 and 4)		(1150.4)
Class A Common Stock	04/29/2021		М		33,334(1)	Α	\$221.248	38,711	D	
Class A Common Stock	04/29/2021		F		22,891 ⁽²⁾	D	\$670	15,820	D	
Class A Common Stock	04/29/2021		S		10,443 ⁽³⁾	D	\$ 669.65 ⁽⁴⁾	5,377	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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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)		Derivative		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	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		Transaction(s) (Instr. 4)		
Stock Options	\$221.248	04/29/2021		М			33,334 ⁽¹⁾	(1)	06/17/2026	Class A Common Stock	33,334	\$0	200,000	D	

Explanation of Responses:

1. Pursuant to a 10b5-1 Plan, exercise of portion of stock options granted on June 17, 2016 under the Charter Communications, Inc. Amended and Restated 2009 Stock Incentive Plan: 81,378 shares subject to the attainment of a \$269.76 per-share hurdle (with a 10-year term); 81,378 shares subject to the attainment of a \$264.97 per-share hurdle (with a 10-year term); 81,378 shares subject to the attainment of a \$364.97 per-share hurdle (with a 10-year term); 81,378 shares subject to the attainment of a \$496.58 per-share hurdle (with a 10-year term); and 81,378 shares subject to the attainment of a \$456.60 per-share hurdle (with a 10-year term); 81,378 shares subject to the attainment of a \$496.58 per-share hurdle (with a 10-year term); and 81,378 shares subject to the attainment of a \$496.58 per-share hurdle (with a 10-year term); and 81,378 shares subject to the attainment of a \$496.58 per-share hurdle (with a 10-year term); and 81,378 shares subject to the attainment of a \$496.58 per-share hurdle (with a 10-year term); and 81,378 shares subject to the attainment of a \$496.58 per-share hurdle (with a 10-year term); and 81,378 shares subject to the attainment of a \$496.58 per-share hurdle (with a 10-year term); and 81,378 shares subject to achievement of the applicable per-share hurdle. Any options that have not vested within 6 years from the date of grant will be cancelled.

2. Withholding of securities for the purpose of paying the exercise price and paying taxes.

3. Shares sold pursuant to a 10b5-1 plan.

4. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$669.39 to \$670.19, inclusive. The reporting person undertakes to provide Charter Communications, Inc., any security holder of Charter Communications, Inc., or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote.

Remarks:

/s/Daniel J. Bollinger as

attorney in fact for David Ellen

** Signature of Reporting Person Date

05/03/2021

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

 \ast 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.

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