SEC Form 4

Class A Common Stock

Class A Common Stock

Class A Common Stock

Conversion

or Exercise

Price of Derivative

Security

\$221.248

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

Explanation of Responses:

3. Transaction

(Month/Day/Year

03/23/2021

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.

* If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

Date

1. Title of

Derivative

Security (Instr. 3)

Stock

Options

Remarks:

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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

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

1. Name and Address of Reporting Person* Ellen David			2. Issuer Name and Ticker or Trading Symbol <u>CHARTER COMMUNICATIONS, INC.</u> / <u>MO/</u> [CHTR]						tionship of Reporting all applicable) Director Officer (give title below)	10% C Other)wner (specify		
(Last) C/O CHARTER 400 ATLANTIC	(First) COMMUNICAT STREET	(Middle) IONS, INC		3. Date of Earliest Transaction (Month/Day/Year) 03/23/2021						below) below) Senior Executive VicePresident			
(Street) STAMFORD (City)	CT (State)	06901 (Zip)							6. Indivi Line) X	vidual or Joint/Group Filing (Check Applicable 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													
Date		2. Transaction Date (Month/Day/Y	(ear)	2A. Deemed Execution Date, if any (Month/Day/Year)	Code (Instr.				15)	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 Indirect Beneficial Ownership (Instr. 4)	

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

Date

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 \$289.76 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 \$455.66 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 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 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 the attainment of \$496.58 p year term). One third of the stock options will be first eligible to vest on each of the third, fourth and fifth anniversaries of the date of grant subject to achievement of the applicable per-share price hurdles. Any

4. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$649.93 to \$650.515, 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.

Exercisable

(1)

5. Number of

Acquired (A) or Disposed of (D) (Instr. 3,

33,333⁽¹⁾

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.

Derivative

Securities

4 and 5)

(A) (D) 33.333(1)

23.049(2)

10,284(3)

Expiration

06/17/2026

Date

Title

Class A

Stock

/s/Daniel J. Bollinger as

attorney in fact for David Ellen ** Signature of Reporting Person

Commo

6. Date Exercisable and

Expiration Date

(Month/Day/Year)

Α

D

D

\$221.248

\$650

\$650.06(4)

Amount

Shares

33.333

or Number

Title and Amount

of Securities Underlying Derivative Security (Instr. 3 and 4)

38,710

15,661

5,377

9. Number of

derivative

Securities

Owned Following

(Instr. 4)

Beneficially

Reported Transaction(s)

233.334

03/25/2021

Date

8. Price of

Derivative

\$221.248

Security (Instr. 5)

D

D

D

10.

Ownership

Form: Direct (D)

or Indirect

(I) (Instr. 4)

D

11. Nature

of Indirect

Beneficial

Ownership (Instr. 4)

03/23/2021

03/23/2021

03/23/2021

Transaction

Code (Instr.

8)

Code

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** 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.

3A. Deemed

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

Execution Date

if any (Month/Day/Year)