SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL OMB Number: 3235-0104

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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* <u>Ergen Two-Year November 2018</u> <u>DISH GRAT</u> | 2. Date of Eve Requiring Sta (Month/Day/Y 11/30/2018 | tement ear) | | | | | | |
|--|--|--------------------|--|---|------------------------------------|---|---|--|
| (Last) (First) (Middle) 9601 S. MERIDIAN BLVD. | | | 4. Relationship of Reporting Pers (Check all applicable) Director X Officer (give title | | (Mont | 5. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check | | |
| (Street) ENGLEWOOD CO 80112 | | | below) | below)` | | able Line) Form filed by | One Reporting Person More than One | |
| (City) (State) (Zip) | | | | | | | | |
| Table I - Non-Derivative Securities Beneficially Owned | | | | | | | | |
| 1. Title of Security (Instr. 4) | | | 2. Amount of Securities Beneficially Owned (Instr. 4) | 3. Ownershi Form: Direct or Indirect (I (Instr. 5) | (D) (Instr. | 4. Nature of Indirect Beneficial Ownership Instr. 5) | | |
| Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) | | | | | | | | |
| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | | 3. Title and Amount of Securities Underlying Derivative Security (Instr. 4) | | 4. Conversion or Exercise | 5. Ownership Form: Direct (D) | 6. Nature of Indirect Beneficial Ownership (Instr. 5) | |
| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Price of Derivative Security | Direct (D) or Indirect (I) (Instr. 5) | | |
| Class B Common Stock | (1) | (1) | Class A Common Stock | 50,000,000 | (1) | D ⁽²⁾ | | |
| Explanation of Responses: | | | | | | | | |

1. The Grantor Retained Annuity Trust ("GRAT") may elect to convert any or all of its Class B shares into an equal number of Class A shares at any time for no additional consideration.

2. On November 30, 2018, Charles W. Ergen established the Ergen Two-Year November 2018 DISH GRAT and contributed 50,000,000 Class B shares, resulting in the transfer of a total of 50,000,000 Class B shares. Mrs. Cantey M. Ergen serves as the trustee of such GRAT.

Remarks:

/s/ Mrs. Cantey M. Ergen, Trustee of the Ergen Two-Year November 2018 DISH GRAT, 12/10/2018 by Brandon Ehrhart her Attorney in Fact Date

** Signature of Reporting Person

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 5 (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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