SEC Form 4

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(b) of the Investment Company Act of 1940

1. Name and Addr GLAZER A	1 0	Person*	2. Issuer Name and Ticker or Trading Symbol <u>HC2 HOLDINGS, INC.</u> [HCHC]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director X 10% Owner
(Last) C/O WOODS (3. Date of Earliest Transaction (Month/Day/Year) 04/20/2021	Officer (give title Other (specify below) below)
700 CROSSRC (Street) ROCHESTER			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line) X 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)					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 (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock	04/20/2021		p ⁽¹⁾		92,099	A	\$3.5219	2,256,207	Ι	Avram Glazer Irrevocable Exempt Trust ⁽²⁾
Common Stock	04/21/2021		p(1)		62,090	A	\$3.7577	2,318,297	I	Avram Glazer Irrevocable Exempt Trust ⁽²⁾
Common Stock	04/22/2021		p(1)		53,500	A	\$3.7387	2,371,797	I	Avram Glazer Irrevocable Exempt Trust ⁽²⁾
Common Stock								33,747	D	
Common Stock								18,983,954	Ι	Lancer Capital ⁽³⁾

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 Derivative Security	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 (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		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 Transaction(s) (Instr. 4)	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				

Explanation of Responses:

1. The share purchase reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on March 17, 2021.

2. The reported shares were acquired by the Avram Glazer Irrevocable Exempt Trust (the "Trust"). Reporting person is the Trustee of the Trust, and in such capacity may be deemed to beneficially own the shares held of record by the Trust

3. The reported shares are held by Lancer Capital LLC ("Lancer"). Reporting Person is the sole owner of Lancer, and in such capacity may be deemed to beneficially own the shares held of record by Lancer.

Remarks:

/s/ Avram A. Glazer

04/22/2021 ** Signature of Reporting Person Date

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 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.

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.