SEC Form 4
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## FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL OMB Number: 3235-0287

0.5

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	Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. <i>See</i> Instruction 1(b).
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## 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* Diamond Susan M						2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>HUMANA INC</u> [ HUM ]									5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner V Officer (give title Other (specify					
(Last) (First) (Middle) HUMANA INC.						Date o 2/19/2		st Trai	nsaction (N	Nonth	ı/Day/Year	X Orner (give title Orner (specify below) below) Segment President, Home Bus.								
500 WEST MAIN STREET					_ 4.	If Ame	ndment,	, Date	of Origina	al File	d (Month/I	6. Ind Line)	6. Individual or Joint/Group Filing (Check Applicable							
(Street) LOUISVILLE KY 40202												1 1	X Form filed by One Reporting Person Form filed by More than One Reporting Person							
(City)	(S	tate)	(Zip)												F CI30					
		Tab	ole I	- Non-Der	ivativ	/e Se	curitie	es A	cquired	l, Dis	sposed	of, or	Benef	icially	Owne	d				
1. Title of Security (Instr. 3) 2. Transaction Date (Month/Day/Year)				ear)	2A. Deemed Execution Date, if any (Month/Day/Year)		C			4. Securities Acquired (A) or Di Of (D) (Instr. 3, 4 and 5)			sposed	Securiti Benefic Owned	5. Amount of Securities Beneficially Dwned Following Reported		vnership n: Direct r Indirect nstr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
								c	ode V	Amo	ount	(A) or (D)	Price		Transac (Instr. 3	tion(s)			(1130.4)	
Humana	Common			02/19/202	21				м	1,	862 <sup>(13)</sup>	Α	\$0		3,774 <sup>(14)</sup>		<sup>(14)</sup> D			
Humana				02/19/202					F	637		D	\$377.415		3,137			D		
Humana				02/19/202					м	-	931	A			4,068		D			
Humana				02/19/202				_	F S		302 L,580	D D	\$377.415 \$376.0223 <sup>(15)</sup>		3,766			D D		
				-1			╋	<u> </u>		1,500		4370.0223						See		
Humana Common															2,	,109		I	Footnote <sup>(1)</sup>	
			Tabl	e II - Deriv (e.g.,					quired, I s, optio						Owned					
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	Date (Month/Day/Year)	Exe if ar	SA. Deemed Execution Date, f any Month/Day/Year)		action (Instr.	5. Number of Derivativ Securitie Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		Expiration (Month/Da s d		e	7. Title and Amount of Securities Underlying Derivative Securi (Instr. 3 and 4)		D S (I	Price of erivative ecurity 1str. 5)			10. Ownershi Form: Direct (D) or Indirect (I) (Instr. 4	Beneficial Ownership (Instr. 4)	
					Code	v	(A)	(D)	Date Exercisal		Expiration Date	Title	or Nui of	ount nber ures						
Options <sup>(2)</sup>	\$350.7875								(2)		02/24/2027	, Hum Comr		298		4,298		D		
Options <sup>(3)</sup>	\$376.61	02/22/2021			A		4,524		(3)		02/22/2028	Hum Comr		524	\$ <mark>0</mark>	4,524		D		
Restricted Stock Units <sup>(4)</sup>	(4)	02/19/2021			М			931	(6)		(6)	Hum Comr		31	\$0	0		D		
Restricted Stock Units <sup>(4)</sup>	(4)								(7)		(7)	Hum Comr		82		282		D		
Restricted Stock Units <sup>(5)</sup>	(5)								(8)		(8)	Hum Comr		023		1,023		D		
Restricted Stock Units <sup>(5)</sup>	(5)								(9)		(9)	Hum Comr		82		582		D		
Restricted Stock Units <sup>(5)</sup>	(5)								(10)		(10)	Hum Comr		70		570		D		
Restricted Stock Units <sup>(5)</sup>	(5)	02/22/2021			A		1,099		(11)		(11)	Hum Comr		099	\$ <mark>0</mark>	1,099		D		
Phantom Stock Units <sup>(12)</sup>	(12)								(12)	T	(12)	Hum Comr		18		318		I	See Footnote. <sup>(12)</sup>	

Explanation of Responses:

Units<sup>(12)</sup>

1. Shares held for the benefit of the reporting person as of January 31, 2021 under the Humana Retirement Savings Plan including routine payroll deductions, quarterly dividend allocation, and a routine disposition of shares to fund an administrative fee assessment under a Tax-Conditioned Plan, exempt under Rule 16b-3(c).

2. Right to buy pursuant to Company's 2019 Amended & Restated Stock Incentive Plan. Incentive and Non-Qualified stock options granted to reporting person on 02/24/2020, vesting in three annual increments

from 2/24/21 to 2/24/23.

3. Right to buy pursuant to Company's 2019 Amended & Restated Stock Incentive Plan. Incentive and Non-Qualified stock options granted to reporting person on 02/22/2021, vesting in three annual increments from 2/22/22 to 2/22/24.

4. Right to receive one share per restricted stock unit pursuant to the Company's 2011 Stock Incentive Plan. Each restricted stock unit represents a contingent right to receive one share of Humana Inc. common stock, exempt under Rule 16b-3(d)(1) & (3).

5. Right to receive one share per restricted stock unit pursuant to the Company's 2019 Amended & Restated Stock Incentive Plan. Each restricted stock unit represents a contingent right to receive one share of Humana Inc. common stock, exempt under Rule 16b-3(d)(1) & (3).

6. Restricted stock units granted to reporting person on 02/19/18, 931 shares vesting in three annual increments on 12/15/18, 12/15/19 and 12/15/20. and 931 shares vest fully three years from the date of grant. Shares reported are what remain unvested.

 $7. \ Restricted \ stock \ units \ granted \ to \ reporting \ person \ on \ 02/25/19, \ 33\% \ of \ the \ award \ is \ vesting \ on \ 12/15/19, \ 12/15/20, \ and \ 12/15/21.$ 

8. Restricted stock units granted to reporting person on 06/01/19, 100% of the award is vesting on 6/1/22.

9. Restricted stock units granted to reporting person on 07/01/19, 33% of the award is vesting on 07/01/20, 07/01/21, and 07/01/22.

10. Restricted stock units granted to reporting person on 02/24/2020, 33% of the award is vesting on 12/15/20, 12/15/21, and 12/15/22.

11. Restricted stock units granted to reporting person on 02/22/2021, 33% of the award is vesting on 12/15/21, 12/15/22, and 12/15/23.

12. Phantom Stock Units held for the benefit of reporting person as of January 31, 2021 based on the value of Humana common stock on a 1-for-1 basis, under the Humana Retirement Equalization Plan. The ending number of units reflects normal fluctuation due to changes in stock price.

13. Includes Performance Stock Units that vested on 2/19/21.

14. Reporting person transferred a total of 464 shares of direct ownership on December 18, 2021 pursuant to a Domestic Relations Order. Reporting person was afforded a filing exemption under Rule 16a-12, which extends to securities transferred to a DRO.

15. Price reported is weighted avg sales price.

**Remarks:** 

Susan M. Diamond

\*\* Signature of Reporting Person

<u>02/23/2021</u> 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.

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