SEC Form 4	
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Humana Common

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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See

Footnote⁽¹⁾

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(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person [*] Fleming William Kevin		2. Issuer Name and HUMANA II					elationship of Reporti ck all applicable) Director	0 ()	lssuer Owner				
(Last) HUMANA INC. 500 WEST MAI		3. Date of Earliest T 05/04/2021				2	Officer (give title below) Seg Pres, Clin	er (specify w) tions					
(Street) LOUISVILLE (City))2	4. If Amendment, D	ate of C	origina	l Filed (Month	Line	 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-Deriv				ative Securities Acquired, Disposed of, or Beneficially Owned									
1. Title of Security (Instr. 3)				2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Dis Of (D) (Instr. 3, 4 and 5)				6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
1. Title of Security	(Instr. 3)		2. Transaction Date (Month/Day/Year)	Execution Date, if any	Transa Code (Securities Beneficially Owned Following	Form: Direct (D) or Indirect	Indirect Beneficial Ownership	
1. Title of Security	(Instr. 3)		Date	Execution Date, if any	Transa Code (Securities Beneficially	Form: Direct (D) or Indirect	Indirect Beneficial	
1. Title of Security			Date	Execution Date, if any	Transa Code (8)	Instr.	Of (D) (Instr.	3, 4 and	5) ´ .	Securities Beneficially Owned Following Reported Transaction(s)	Form: Direct (D) or Indirect	Indirect Beneficial Ownership	
	n		Date (Month/Day/Year)	Execution Date, if any	Transa Code (8) Code	Instr.	Of (D) (Instr. Amount	3, 4 and (A) or (D)	5) Price	Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	Form: Direct (D) or Indirect (I) (Instr. 4)	Indirect Beneficial Ownership	
Humana Commo	n n		Date (Month/Day/Year) 05/04/2021	Execution Date, if any	Transa Code (8) Code M	Instr.	Of (D) (instr. Amount 372	3, 4 and (A) or (D) A	5) Price \$268.47	Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) 6,341	Form: Direct (D) or Indirect (I) (Instr. 4)	Indirect Beneficial Ownership	
Humana Commo Humana Commo	n n n		Date (Month/Day/Year) 05/04/2021 05/04/2021	Execution Date, if any	Transa Code (8) Code M F	Instr.	Of (D) (Instr. Amount 372 222	3, 4 and (A) or (D) A D	Frice \$268.47 \$449.895 ⁽¹³⁾	Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) 6,341 6,119	Form: Direct (D) or Indirect (I) (Instr. 4)	Indirect Beneficial Ownership	
Humana Commo Humana Commo Humana Commo	n n n n		Date (Month/Day/Year) 05/04/2021 05/04/2021 05/04/2021	Execution Date, if any	Transa Code (8) Code M F M	Instr.	Of (D) (Instr. Amount 372 222 6,251	3, 4 and (A) or (D) A D A	5) Price \$268.47 \$449.895 ⁽¹³⁾ \$268.47	Securities Beneficially Owned Following Reported Transaction(s) (instr. 3 and 4) 6,341 6,119 12,370 13,761	Form: Direct (D) or Indirect (I) (Instr. 4) D D D	Indirect Beneficial Ownership	

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	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)	Exec if an	Deemed cution Date, y nth/Day/Year)	4. Transa Code (8)		of Deri Sec Acq (A) Disp of (I	posed D) tr. 3, 4	Expiration Date (Month/Day/Year) sed 3, 4			7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s (Instr. 4)	Ownershi Form: Direct (D) or Indirec (I) (Instr. 4	Beneficial Ownership t (Instr. 4)
					Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Options ⁽²⁾	\$268.47	05/04/2021			М			6,623	(2)	02/19/2025	Humana Common	6,623	\$ <mark>0</mark>	0	D	
Options ⁽³⁾	\$271.14	05/04/2021			М			1,391	(3)	02/19/2025	Humana Common	1,391	\$0	0	D	
Options ⁽⁴⁾	\$307.965								(4)	02/25/2026	Humana Common	7,184		7,184	D	
Options ⁽⁵⁾	\$350.7875								(5)	02/24/2027	Humana Common	6,446		6,446	D	
Options ⁽⁶⁾	\$376.61								(6)	02/22/2028	Humana Common	4,807		4,807	D	
Restricted Stock Units ⁽⁷⁾	(7)								(9)	(9)	Humana Common	542		542	D	
Restricted Stock Units ⁽⁸⁾	(8)								(10)	(10)	Humana Common	856		856	D	
Restricted Stock Units ⁽⁸⁾	(8)								(11)	(11)	Humana Common	1,168		1,168	D	
Phantom Stock Units	(12)								(12)	(12)	Humana Common	23		23	I	See Footnote ⁽¹²⁾

Explanation of Responses:

1. Shares held for the benefit of reporting person as of April 30, 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 2011 Stock Incentive Plan. Non-Qualified stock options granted to reporting person on 02/19/2018, vesting in three increments from 2/19/19 to 2/19/21.

3. Right to buy pursuant to Company's 2011 Stock Incentive Plan. Non-Qualified stock options granted to reporting person on 03/1/2018, vesting in three increments from 2/19/19 to 2/19/21.

4. Right to buy pursuant to Company's 2011 Stock Incentive Plan. Non-Qualified stock options granted to reporting person on 02/25/2019, vesting in three increments from 2/25/20 to 2/25/20.

5. 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.

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

7. 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).

8. 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).

9. Restricted stock units granted to reporting person on 2/25/19, 33% of the award is vesting on 12/15/19, 12/15/20 and 12/15/21.

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 April 30, 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. Shares swapped for the purchase price of a stock option exercise, using Fair Market Value of Humana Inc. common stock on May 3, 2021, per the 2011 Stock Incentive Plan.

14. Price reported is weighed avg sales price.

Remarks:

William K. Fleming

** Signature of Reporting Person

<u>05/06/2021</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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