SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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	OMB Number: 3235-028							
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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(h) of the Investment Company Act of 1940

1. Name and Addre	•	0	2. Issuer Name and Ticker or Trading Symbol HUMANA INC [HUM]		5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
PETERSON	MAKISS	<u>A 1</u>		X	Director	10% Owner			
(Last) HUMANA INC		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 01/04/2021		Officer (give title below)	Other (specify below)			
500 W. MAIN STREET			4. If Amendment, Date of Original Filed (Month/Day/Year)	ing (Check Applicable					
(Street)					Form filed by One Reporting Person				
LOUISVILLE	КҮ	40202			Form filed by More than One Reporting Person				
(City)	(State)	(Zip)							
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)	Transaction Disposed O Code (Instr. 5)		Disposed Of	isposed Of (D) (Instr. 3, 4 and		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)		(1130. 4)
Humana Common	01/04/2021		Α		403	Α	\$ <mark>0</mark>	1,632 ⁽³⁾	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and Amount 8. Price of 9. Number of 10. 11. Nature Execution Date, if any 7. Transaction Code (Instr. 8) of Securities Underlying Derivative Security Conversion Derivative Date (Month/Day/Year) Expiration Date (Month/Day/Year) Derivative derivative Ownership of Indirect of Derivative Security (Instr. 3) Security (Instr. 5) or Exercise Securities Form: Beneficial Price of (Month/Dav/Year) Securities Beneficially Direct (D) Ownership Acquired (A) or Derivative (Instr. 3 and 4) Owned Following or Indirect (I) (Instr. 4) (Instr. 4) Security Disposed of (D) (Instr. 3, 4 Reported Transaction(s) (Instr. 4) and 5) Amount Number Expiration Date Code v (A) (D) Exercisable Date Title Shares Restricted Humana Stock (1) (1) (1) 17,687 17,687 D Units⁽¹⁾ Commor Restricted Humana 169 (2) (2) (2) Stock 169 D Commor Units⁽²⁾

Explanation of Responses:

1. Annual Director's fee payable in stock units which have been deferred at the election of the Reporting Person until her resignation of services as a director at which time the stock units will be payable in Humana Inc. common stock on a 1-for-1 basis, exempt pursuant to Rule 16(b)-3(d)(1).

2. Director's dividend payment reinvested into stock units on vested and deferred stock units, deferred in accordance with the Plan until her resignation of services as a director at which time the deferred dividend stock units will be payable in Humana Inc. common stock on a 1-for-1 basis, exempt pursuant to Rule16(b)-3(d).

3. Includes 403 restricted stock units pursuant to the annual Director's Fee Program representing a contingent right to receive one share of Humana Inc. common stock, exempt under Rule 16b-3(d)(1)&(3) under the Company's 2019 Amended & Restated Plan of which 100% is vesting on 12/31/21.

Remarks:

Marissa T. Peterson

** Signature of Reporting Person

01/06/2021 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.