Humana Common

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

01	ИΒ	APPROVAL

Transaction(s)

(Instr. 3 and 4)

12,409

12,084

19,169

D

D

D

3235-0287 OMB Number: Estimated average burden hours per response: 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b)

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* BEVERIDGE, ROY A (Last) (First) (Middle) HUMANA INC. 500 WEST MAIN STREET				2. Issuer Name and THUMANA IN 3. Date of Earliest Tra 02/19/2019	<u>C</u> [HUM]			tionship of Reporting all applicable) Director Officer (give title below) Chief Med	10% (Owner (specify	
(Street) LOUISVILLE KY 40202 (City) (State) (Zip)				4. If Amendment, Dat	e of Original F	iled (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				
	T	able I -	Non-Deriva	tive Securities A	cquired, l	Disposed of, or Benefi	cially	Owned			
1. Title of Security (Instr. 3) 2. Transaction Date (Month/Day/Ye		2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and	d 5)	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 ν

M

F

M

	02/19/2019		S		8,278	D	\$307.1579(8)	10,891	D	L		
	02/20/2019		G		100	D	\$0 ⁽⁹⁾	10,791	D			
Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned												

Amount

595

325

7,085

(A) or (D)

A

D

Α

Price

\$167.805

\$307.215(7)

\$167.805

	(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. Transa Code (8)		of		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				
Options ⁽¹⁾	\$167.805	02/19/2019		M			7,680	(1)	02/18/2023	Humana Common	7,680	\$0	7,084	D	
Options ⁽²⁾	\$217.415							(2)	03/08/2024	Humana Common	15,997		15,997	D	
Options ⁽³⁾	\$268.47							(3)	02/19/2025	Humana Common	4,415		4,415	D	
Restricted Stock Units ⁽⁴⁾	(4)							(5)	(5)	Humana Common	1,993		1,993	D	
Restricted Stock Units ⁽⁴⁾	(4)							(6)	(6)	Humana Common	683		683	D	

Explanation of Responses:

- 1. Right to buy pursuant to Company's 2011 Stock Incentive Plan. Incentive and Non-Qualified stock options granted to reporting person on 02/18/16, vesting in three increments from 02/18/17 to 02/18/19.
- 2. Right to buy pursuant to Company's 2011 Stock Incentive Plan. Incentive and Non-Qualified stock options granted to reporting person on 03/08/2017. 10,998 options vesting in three annual increments, and 4,999 options fully vest three years from the date of grant.
- 3. Right to buy pursuant to Company's 2011 Stock Incentive Plan. Incentive and Non-Qualified stock options granted to reporting person on 02/19/18, vesting in three increments from 02/19/19 to 02/19/21.
- 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. Restricted stock units granted to reporting person on 03/08/2017, 2,529 shares vesting in three annual increments on 12/15/17, 12/15/18, and 12/15/19. 1,149 shares fully vest three years from the date of
- 6. Restricted stock units granted to reporting person on 02/19/18, 33% of the award is vesting on 12/15/18, 12/15/19, and 12/15/20.

02/19/2019

02/19/2019

02/19/2019

- 7. Shares swapped for payment of purchase price on stock option exercise using fair market value on February 15, 2019 pursuant to Humana Inc's 2011 Stock Incentive Plan.
- 8. 1,193 shares sold at price of \$307.1334. 7,085 shares sold at prices ranging from \$306.56 to \$307.1579. Price reported is weighted average sales price.
- 9. Transaction representing a gift/chartiable donation effective February 20, 2019 in which no value was received in return.

Remarks:

** 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.