

MCCARTHY GLORIA M
Form 4
March 05, 2019

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
MCCARTHY GLORIA M

2. Issuer Name and Ticker or Trading Symbol
Anthem, Inc. [ANTM]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
220 VIRGINIA AVENUE

(Street)

3. Date of Earliest Transaction (Month/Day/Year)
03/01/2019

____ Director
 Officer (give title below)
____ 10% Owner
____ Other (specify below)
EVP & Chief Administrative Off

INDIANAPOLIS, IN 46204

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 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) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | Code | V | Amount (A) or (D) Price | | |
| Common Stock | 03/01/2019 | | F | | 6,342 (1) \$ 307.68 | D | |
| Common Stock | 03/01/2019 | | A | | 9,125 (2) \$ 0 | D | |
| Common Stock | 03/01/2019 | | A | | 2,641 (3) \$ 0 | D | |
| Common Stock | 03/01/2019 | | A | | 1,087 (4) \$ 0 | D | |
| Common Stock | 03/04/2019 | | M | | 1,362 \$ 146.93 | D | |

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| | | | | | | | |
|--------------|------------|------------------|-------|---|----------------------|-------------|---|
| Common Stock | 03/04/2019 | S ⁽⁵⁾ | 500 | D | \$ 300.12 (6) | 46,129.1293 | D |
| Common Stock | 03/04/2019 | S ⁽⁵⁾ | 500 | D | \$ 301.46 (7) | 45,629.1293 | D |
| Common Stock | 03/04/2019 | S ⁽⁵⁾ | 2,500 | D | \$ 302.32 (8) | 43,129.1293 | D |
| Common Stock | 03/04/2019 | S ⁽⁵⁾ | 1,500 | D | \$ 303.22 (9) | 41,629.1293 | D |
| Common Stock | 03/04/2019 | S ⁽⁵⁾ | 600 | D | \$ 304.09 (10) | 41,029.1293 | D |
| Common Stock | 03/04/2019 | S ⁽⁵⁾ | 1,101 | D | \$ 306.32 (11) | 39,928.1293 | D |
| Common Stock | 03/04/2019 | S ⁽⁵⁾ | 600 | D | \$ 307.54 (12) | 39,328.1293 | D |
| Common Stock | 03/04/2019 | S ⁽⁵⁾ | 400 | D | \$ 308.35 (13) | 38,928.1293 | D |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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 control number.

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(9-02)

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 Underlying Security (Instr. 3 and 4) | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Employee Stock Option | \$ 307.68 | 03/01/2019 | | A | 12,187 | (14) | 03/01/2029 | Common Stock | 12,187 |

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This transaction was executed in multiple trades at prices ranging from \$305.79 to \$306.62. The price reported reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

- (12) This transaction was executed in multiple trades at prices ranging from \$307.17 to \$308.13. The price reported reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

- (13) This transaction was executed in multiple trades at prices ranging from \$308.23 to \$308.50. The price reported reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

- (14) The option represents a right to purchase a total of 12,187 shares, and is exercisable in three annual installments, with two installments of 4,062 shares each and one installment of 4,063 shares, beginning on 3/1/2020, which is the one-year anniversary of the option grant date.

- (15) ? The option represents a right to purchase a total of 16,762 shares, and is exercisable in six semi-annual installments, with four installments of 2,794 shares each and two installments of 2,793 shares each, beginning on 9/2/2015, which is the six-month anniversary of option grant date.

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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