

HUMANA INC
Form 4
February 22, 2017

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 *
LeClaire Brian P.

(Last) (First) (Middle)

HUMANA INC., 500 WEST MAIN STREET

(Street)

LOUISVILLE, KY 40202

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
HUMANA INC [HUM]

3. Date of Earliest Transaction (Month/Day/Year)
02/18/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

___ Director ___ 10% Owner
X Officer (give title below) ___ Other (specify below)

SVP & Chief Information Off.

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-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 | | |
| Humana Common | 02/18/2017 | | M | | 7,889 (10) | A | \$ 0 25,734 D |
| Humana Common | 02/18/2017 | | F | | 3,202 | D | \$ 205.325 22,532 D |
| Humana Common | 02/22/2017 | | M | | 2,254 | A | \$ 72.84 24,786 D |
| Humana Common | 02/22/2017 | | M | | 7,450 | A | \$ 102.155 32,236 D |
| Humana Common | 02/22/2017 | | M | | 4,921 | A | \$ 167.805 37,157 D |

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| | | | | | | | | |
|---------------|------------|---|--------|---|--------------------|--------|---|-----------------------|
| Humana Common | 02/22/2017 | F | 974 | D | \$ 204.66 (11) | 36,183 | D | |
| Humana Common | 02/22/2017 | S | 26,894 | D | \$ 205.236 (12) | 9,289 | D | |
| Humana Common | | | | | | 134 | I | (See Footnote) (1) |

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 Securities (Instr. 3 and 4) | 8. Amount or Number of Shares | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Options ⁽²⁾ | \$ 72.84 | 02/22/2017 | | M | 2,254 | ⁽²⁾ | 02/20/2020 | Humana Common | 2,254 |
| Options ⁽³⁾ | \$ 102.155 | 02/22/2017 | | M | 7,450 | ⁽³⁾ | 02/18/2021 | Humana Common | 7,450 |
| Options ⁽⁴⁾ | \$ 164.645 | | | | | ⁽⁴⁾ | 02/24/2022 | Humana Common | 14,913 |
| Options ⁽⁵⁾ | \$ 167.805 | 02/22/2017 | | M | 4,921 | ⁽⁵⁾ | 02/18/2023 | Humana Common | 4,921 |
| Restricted Stock Units ⁽⁶⁾ | ⁽⁶⁾ | 02/18/2017 | | M | 2,447 | ⁽⁷⁾ | ⁽⁷⁾ | Humana Common | 2,447 |
| Restricted Stock Units ⁽⁶⁾ | ⁽⁶⁾ | | | | | ⁽⁸⁾ | ⁽⁸⁾ | Humana Common | 2,186 |
| Phantom Stock | ⁽⁹⁾ | | | | | ⁽⁹⁾ | ⁽⁹⁾ | Humana Common | 61 |

