

BROUSSARD BRUCE D

Form 4

May 07, 2018

**FORM 4****UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

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 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

## OMB APPROVAL

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2005  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
BROUSSARD BRUCE D

(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)

05/03/2018

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

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify below)

President &amp; CEO

6. Individual or Joint/Group Filing(Check  
Applicable Line)

☒ 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 Indirect Beneficial Ownership (Instr. 4)
Humana Common	05/03/2018		M	607	A \$ 164.645	89,259	D
Humana Common	05/03/2018		F	349	D \$ 287.14 (9)	88,910	D
Humana Common	05/03/2018		M	38,935	A \$ 164.645	127,845	D
Humana Common	05/03/2018		F	22,326	D \$ 287.14 (9)	105,519	D
Humana Common	05/03/2018		F	7,630	D \$ 284.775 (10)	97,889	D

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Humana Common	05/03/2018	M	39,147	A	\$ 167.805	137,036	D
Humana Common	05/03/2018	F	22,878	D	\$ 287.14 (9)	114,158	D
Humana Common	05/03/2018	F	7,469	D	\$ 284.775 (10)	106,689	D
Humana Common	05/03/2018	S	17,604	D	\$ 286.1676 (11)	89,085	D

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

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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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Options <u>(1)</u>	\$ 164.645	05/03/2018		M	39,542	<u>(1)</u> 02/24/2022	Humana Common 39,542
Options <u>(2)</u>	\$ 167.805	05/03/2018		M	39,147	<u>(2)</u> 02/18/2023	Humana Common 39,147
Options <u>(3)</u>	\$ 217.415					<u>(3)</u> 03/08/2024	Humana Common 105,988
Options <u>(4)</u>	\$ 268.47					<u>(4)</u> 02/19/2025	Humana Common 44,152
Restricted Stock Units <u>(5)</u>	<u>(5)</u>					<u>(6)</u> <u>(6)</u>	Humana Common 8,693
Restricted Stock Units <u>(5)</u>	<u>(5)</u>					<u>(7)</u> <u>(7)</u>	Humana Common 16,252
Restricted Stock Units <u>(5)</u>	<u>(5)</u>					<u>(8)</u> <u>(8)</u>	Humana Common 10,243

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BROUSSARD BRUCE D HUMANA INC. 500 WEST MAIN STREET LOUISVILLE, KY 40202	X		President & CEO	

## Signatures

Bruce D.  
Broussard 05/07/2018

\*\*Signature of  
Reporting Person Date

## Explanation of Responses:

- \* 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).
- (1) Right to buy pursuant to the Company's 2011 Stock Incentive Plan. Incentive and Non-Qualified stock options granted to Reporting Person on 02/24/15, vesting in three increments from 02/24/16 to 02/24/18.
  - (2) 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.
  - (3) 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, vesting in three annual increments.
  - (4) Right to buy pursuant to Company's 2011 Stock Incentive Plan. Incentive and Non-Qualified stock options granted to reporting person on 02/19/2018, vesting in three annual increments.
  - (5) 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).
  - (6) Restricted stock units granted to reporting person on 02/18/16, 33% of the award is vesting on 12/15/16, 12/15/17, and 12/15/18.
  - (7) Restricted stock units granted to reporting person on 03/08/2017, 33% of the award is vesting on 12/15/17, 12/15/18, and 12/15/19.
  - (8) Restricted stock units granted to reporting person on 02/19/2018, 33% of the award is vesting on 12/15/18, 12/15/19, and 12/15/20.
  - (9) Shares swapped for payment of purchase price on stock option exercise using fair market value on May 2, 2018 pursuant to Humana Inc's 2011 Stock Incentive Plan.
  - (10) Shares swapped for payment of taxes on stock option exercise using fair market value on May 3, 2018 pursuant to Humana Inc's 2011 Stock Incentive Plan.
  - (11) Shares sold at prices ranging from \$285.95 to \$286.475. Price reported is weighted average sales price.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.