DAMELIO FRANK A

Form 4 May 22, 2013

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB APPROVAL** OMB

Number:

3235-0287

Expires:

January 31, 2005

0.5

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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

1(b).

(Print or Type Responses)

| 1. Name and Address of Reporting Person * DAMELIO FRANK A |          |          | 2. Issuer Name <b>and</b> Ticker or Trading Symbol | 5. Relationship of Reporting Person(s) to Issuer        |  |  |
|---|----------|----------|--|---|--|--|
|   |          |          | HUMANA INC [HUM]                                   | (Check all applicable)                                  |  |  |
| (Last)  | (First)  | (Middle) | 3. Date of Earliest Transaction                    |   |  |  |
|   |          |          | (Month/Day/Year)                                   | _X_ Director 10% Owner                                  |  |  |
| PFIZER INC., 235 EAST 42ND<br>STREET, 235/23/5            |          |          | 05/20/2013   | Officer (give title Other (specify below)               |  |  |
|   | (Street) |          | 4. If Amendment, Date Original                     | 6. Individual or Joint/Group Filing(Check               |  |  |
|   |          |          | Filed(Month/Day/Year)                              | Applicable Line) _X_ Form filed by One Reporting Person |  |  |
| NEW YORK  | NY 1001  | 7        |  | Form filed by More than One Reporting                   |  |  |

#### NEW YORK, NY 10017

(State)

(Zip)

(City)

|                        |                                      |                               |                  |            |           |             |                         | ,                         | •                     |
|------------------------|--------------------------------------|-------------------------------|------------------|------------|-----------|-------------|-------------------------|---------------------------|-----------------------|
| 1.Title of<br>Security | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if | 3.<br>Transactio | 4. Securi  |           |             | 5. Amount of Securities | 6. Ownership Form: Direct | 7. Nature of Indirect |
| (Instr. 3)             | •                                    | any                           | Code             | (Instr. 3, | 4 and     | 5)          | Beneficially            | (D) or                    | Beneficial            |
|                        |                                      | (Month/Day/Year)              | (Instr. 8)       |            |           |             | Owned                   | Indirect (I)              | Ownership             |
|                        |                                      |                               |                  |            |           |             | Following               | (Instr. 4)                | (Instr. 4)            |
|                        |                                      |                               |                  |            | (4)       |             | Reported                |                           |                       |
|                        |                                      |                               |                  |            | (A)       |             | Transaction(s)          |                           |                       |
|                        |                                      |                               | Code V           | Amount     | or<br>(D) | Price       | (Instr. 3 and 4)        |                           |                       |
| Humana<br>Common       | 05/20/2013                           |                               | M                | 2,500      | A         | \$<br>23.05 | 20,829                  | D                         |                       |
| Humana<br>Common       | 05/20/2013                           |                               | F                | 721        | D         | \$ 79.9     | 20,108                  | D                         |                       |

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

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Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

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# $\label{thm:convertible} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (e.g., puts, calls, warrants, options, convertible securities) \end{tabular}$

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transacti<br>Code<br>(Instr. 8) | tion of Derivative<br>Securities |       | mof Derivative Expiration Date Securities (Month/Day/Year) Acquired (A) or Disposed of (D) (Instr. 3, 4, |                    | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |                                     |
|---|---|--------------------------------------|---|---------------------------------------|----------------------------------|-------|--|--------------------|---|-------------------------------------|
|   |   |                                      |   | Code V                                | (A)                              | (D)   | Date<br>Exercisable  | Expiration<br>Date | Title   | Amount<br>or<br>Number<br>of Shares |
| Option (4)  | \$ 23.05  | 05/20/2013                           |   | M                                     |                                  | 2,500 | 01/02/2005   | 01/02/2014         | Humana<br>Common  | 2,500                               |
| Stock Unit  | (1)   |                                      |   |                                       |                                  |       | <u>(1)</u>   | <u>(1)</u>         | Humana<br>Common  | 1,821                               |
| Stock Unit  | <u>(2)</u>  |                                      |   |                                       |                                  |       | (2)  | (2)                | Humana<br>Common  | 14,025                              |
| Stock Unit  | (3)   |                                      |   |                                       |                                  |       | (3)  | <u>(3)</u>         | Humana<br>Common  | 2,467                               |
| Stock Unit  | <u>(5)</u>  |                                      |   |                                       |                                  |       | <u>(5)</u>   | <u>(5)</u>         | Humana<br>Common  | 318                                 |
| Restricted<br>Stock<br>Units                        | <u>(6)</u>  |                                      |   |                                       |                                  |       | <u>(6)</u>   | (6)                | Humana<br>Common  | 2,026                               |

# **Reporting Owners**

| Reporting Owner Name / Address   | Relationships |           |         |       |  |  |
|--|---------------|-----------|---------|-------|--|--|
| • 5  | Director      | 10% Owner | Officer | Other |  |  |
| DAMELIO FRANK A<br>PFIZER INC.<br>235 EAST 42ND STREET, 235/23/5<br>NEW YORK, NY 10017 | X             |           |         |       |  |  |

# **Signatures**

| 05/22/2013 |
|------------|
| 03/22/2013 |
| Date       |
|            |

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### **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) Annual Director's fee payable in stock units, deferred at the election of the reporting person until his 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).
- Annual Director's fee payable in stock units which have been deferred at the election of the reporting person until his resignation of (2) services as a director at which time the stock units will be payable in Humana Inc. common stock on a 1-for-1 basis (over a five-year period), exempt pursuant to Rule 16(b)-3(d)(1).
- Director's cash fee elected to be converted into stock units, deferred at the election of the reporting person until his 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 (over a five-year period), exempt pursuant to Rule 16(b)-3(d)(1).
- (4) Right to buy pursuant to Humana Inc.'s 2003 Stock Incentive Plan.
- Director's dividend payment reinvested into stock units on vested and deferred stock units, deferred in accordance with the Plan until his 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).
- (6) 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) under the Company's 2011 Plan. 100% of the award is vesting on 12/31/2013.

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.