

Ventura Joseph C  
Form 3  
February 22, 2019

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

## INITIAL STATEMENT OF 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 * | 2. Date of Event Requiring Statement                                       | 3. Issuer Name <b>and</b> Ticker or Trading Symbol                     |
| Â Ventura Joseph C                        | (Month/Day/Year)                                                           | HUMANA INC [HUM]                                                       |
| (Last) (First) (Middle)                   | 02/21/2019                                                                 |                                                                        |
|                                           | 4. Relationship of Reporting Person(s) to Issuer                           | 5. If Amendment, Date Original Filed(Month/Day/Year)                   |
| HUMANA INC.,Â 500 WEST MAIN STREET        | (Check all applicable)                                                     |                                                                        |
| (Street)                                  | <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner       | 6. Individual or Joint/Group Filing(Check Applicable Line)             |
|                                           | <input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other | <input checked="" type="checkbox"/> Form filed by One Reporting Person |
| LOUISVILLE,Â KYÂ 40202                    | (give title below) (specify below)                                         | <input type="checkbox"/> Form filed by More than One Reporting Person  |
| (City) (State) (Zip)                      | Chief Legal Officer & Corp Sec                                             |                                                                        |

### Table I - Non-Derivative Securities Beneficially Owned

| 1. Title of Security<br>(Instr. 4) | 2. Amount of Securities Beneficially Owned<br>(Instr. 4) | 3. Ownership Form:<br>Direct (D)<br>or Indirect (I)<br>(Instr. 5) | 4. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|------------------------------------|----------------------------------------------------------|-------------------------------------------------------------------|----------------------------------------------------------|
| Humana Common                      | 200                                                      | D                                                                 | Â                                                        |
| Humana Common                      | 172                                                      | I                                                                 | See Footnote <sup>(1)</sup>                              |

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

SEC 1473 (7-02)

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### Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security<br>(Instr. 4) | 2. Date Exercisable and Expiration Date<br>(Month/Day/Year) | 3. Title and Amount of Securities Underlying Derivative Security<br>(Instr. 4) | 4. Conversion or Exercise Price of | 5. Ownership Form of Derivative | 6. Nature of Indirect Beneficial Ownership<br>(Instr. 5) |
|-----------------------------------------------|-------------------------------------------------------------|--------------------------------------------------------------------------------|------------------------------------|---------------------------------|----------------------------------------------------------|
|-----------------------------------------------|-------------------------------------------------------------|--------------------------------------------------------------------------------|------------------------------------|---------------------------------|----------------------------------------------------------|

## Edgar Filing: Ventura Joseph C - Form 3

|                        | Date<br>Exercisable | Expiration<br>Date | Title            | Amount or<br>Number of<br>Shares | Derivative<br>Security | Security:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) |   |
|------------------------|---------------------|--------------------|------------------|----------------------------------|------------------------|-------------------------------------------------------------|---|
| Restricted Stock Units | Â (2)               | Â (2)              | Humana<br>Common | 1,149 (3)                        | \$ 0                   | D                                                           | Â |
| Restricted Stock Units | Â (2)               | Â (2)              | Humana<br>Common | 373 (4)                          | \$ 0                   | D                                                           | Â |
| Restricted Stock Units | Â (2)               | Â (2)              | Humana<br>Common | 559 (5)                          | \$ 0                   | D                                                           | Â |

## Reporting Owners

| Reporting Owner Name / Address                                                  | Relationships |           |                                  |       |
|---------------------------------------------------------------------------------|---------------|-----------|----------------------------------|-------|
|                                                                                 | Director      | 10% Owner | Officer                          | Other |
| Ventura Joseph C<br>HUMANA INC.<br>500 WEST MAIN STREET<br>LOUISVILLE, KY 40202 | Â             | Â         | Â Chief Legal Officer & Corp Sec | Â     |

## Signatures

Joseph C.  
Ventura

02/22/2019

\*\*Signature of  
Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 5(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).
- Shares held for the benefit of reporting person as of January 31, 2019 under the Humana Retirement Savings Plan including routine
- (1) payroll deductions, quarterly dividend allocation, and a routine disposition of shares to fund an administrative fee assessment under a Tax-Conditioned Plan, exempt under Rule 16b-3(c).
  - (2) 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).
  - (3) Restricted stock units granted to reporting person on 03/08/17. 1,379 shares vesting in three annual increments on 12/15/17, 12/15/18, and 12/15/19; and 689 shares fully vesting three years from the date of grant. Shares reported are what remain unvested.
  - (4) 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. Shares reported are what remain unvested.
  - (5) Restricted stock units granted to reporting person on 02/19/18, 100% of the award is vesting on 02/19/21.

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.