Kusserow Paul B. K. Form 4 February 22, 2013

### FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB 3235-0287

**OMB APPROVAL** 

Number: Expires:

January 31,

2005

0.5

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may continue.

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if no longer

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

See Instruction 1(b).

(Print or Type Responses)

(Last)

(City)

1. Name and Address of Reporting Person \* Kusserow Paul B. K.

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to Issuer

HUMANA INC [HUM]

(First) (Middle) 3. Date of Earliest Transaction

(Month/Day/Year)

02/20/2013

Director 10% Owner Other (specify

(Check all applicable)

X\_ Officer (give title below) Sr VP & Ch Strat Dev Officer

**HUMANA INC., 500 WEST MAIN** STREET

(Street)

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

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting Person

D

3.

LOUISVILLE, KY 40202

(State) (Zip)

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

1.Title of 2. Transaction Date 2A. Deemed Security (Month/Day/Year) Execution Date, if (Instr. 3) (Month/Day/Year)

TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

4. Securities

5. Amount of 6. Ownership 7. Nature of Securities Form: Direct Beneficially (D) or Owned Following Reported

Indirect (I) Ownership (Instr. 4) (Instr. 4)

Indirect

Beneficial

(9-02)

(A) Transaction(s) or

(Instr. 3 and 4) Code V Amount (D) Price

Humana Common

17,192

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

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

### Edgar Filing: Kusserow Paul B. K. - Form 4

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. Transactio Code (Instr. 8)	5. Number of orDerivative 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 (1)	\$ 29.53						(2)	04/28/2016	Humana Common	16,667
Options (1)	\$ 46.4						(3)	02/18/2017	Humana Common	12,118
Options (1)	\$ 61.18						<u>(4)</u>	02/17/2018	Humana Common	15,178
Options (1)	\$ 88.6475						<u>(5)</u>	02/23/2019	Humana Common	24,374
Options (1)	\$ 72.84	02/20/2013		A	14,041		<u>(6)</u>	02/20/2020	Humana Common	14,041
Restricted Stock Units (7)	<u>(9)</u>						(10)	(10)	Humana Common	5,149
Restricted Stock Units (7)	<u>(9)</u>						<u>(11)</u>	<u>(11)</u>	Humana Common	4,738
Restricted Stock Units (8)	<u>(9)</u>	02/20/2013		A	4,633		(12)	(12)	Humana Common	4,633

# **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			

Kusserow Paul B. K. HUMANA INC. 500 WEST MAIN STREET LOUISVILLE, KY 40202

Sr VP & Ch Strat Dev Officer

## **Signatures**

Paul B. K. Kusserow 02/21/2013

\*\*Signature of Date Reporting Person

Reporting Owners 2

## **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 2003 Stock Incentive Plan.
- (2) Non-Qualified stock option grant vests in three increments from 4/28/10 to 4/28/12.
- (3) Reporting person was granted the maximum number of Incentive stock options allowed and remaining options were granted as Non-Qualified stock options. The option grant vests in three increments from 2/18/11 to 2/18/13.
- (4) Reporting person was granted the maximum number of Incentive stock options allowed and remaining options were granted as Non-Qualified stock options. The option grant vests in three increments from 2/17/12 to 2/17/14.
- (5) Reporting person was granted the maximum number of Incentive stock options allowed and remaining options were granted as Non-Qualified stock options. The option grant vests in three increments from 2/23/13 to 2/23/15.
- (6) Incentive and Non-Qualified stock options granted to reporting person on 02/20/13, vesting in three increments from 02/20/14 to 02/20/16.
- (7) Right to receive one share per restricted stock unit pursuant to the Company's 2003 Stock Incentive Plan.
- (8) Right to receive one share per restricted stock unit pursuant to the Company's 2011 Stock Incentive Plan.
- (9) 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).
- (10) Restricted stock units granted to reporting person on 02/17/11, 100% of the award is vesting on 02/17/14.
- (11) Restricted stock units granted to reporting person on 02/23/12, 100% of the award is vesting on 02/23/15.
- (12) Restricted stock units granted to reporting person on 02/20/13, 100% of the award is vesting on 02/20/16.

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.