Edgar Filing: HUMANA INC - Form 144

HUMANA INC Form 144 November 08, 2013 **UNITED STATES** OMB APPROVAL SECURITIES AND EXCHANGE COMMISSION **OMB** Washington, D.C. 20549 Number: 3235-0101 **FORM 144** Expires: February 28, 2014 Estimated average burden NOTICE OF PROPOSED SALE OF SECURITIES PURSUANT TO RULE 144 UNDER THE SECURITIES ACT OF 1933 hours per response. 1.00 Transmit for filing 3 copies of this form concurrently with either SEC USE ONLY placing an order with a broker to execute sale or DOCUMENT SEQUENCE executing a sale directly with a market maker. NO. **CUSIP NUMBER** 1 (a) NAME OF ISSUER (Please type or print) (b) IRS IDENT.(c) S.E.CWORK LOCATION Humana Inc. NO. **FILE** 61-0647538 NO. 1-5975 1 (d) ADDRESS OF ISSUER (e) TELEPHONE **CITY NUMBER STREET AREA ZIP CODE CODE** 580-1000 **STATE** 502 500 West Main Street Louisville KY 40202 2 (a) NAME OF PERSON FOR WHOSE (b) RELATIONSANDPORESS STREET TO ACCOUNT THE SECURITIES ARE TO **CITY STATE** ZIP CODE **ISSUER BE SOLD** David A. Jones, Jr. 500 W. Main Director Street Louisville KY 40202 INSTRUCTION: The person filing this notice should contact the issuer to obtain the I.R.S. identification Number and the S.E.C. File Number SEC USE ONLY (c) 3 (a) (b) (f) (e) (g) Title of the Number of AggregateNumber Approximate Date of Name of Class of Name and Address Broker-Dealer Shares Market of Sale Each Securities of Each Broker File Number or Other Units Value Shares (See Instr. 3(f)) Securities To Be Sold Through Whom the (See or Other (MO. DAY YR.) To Be Sold Exchange Securities Are To Units (See instr. 3 (See Instr. 3 Instr. Be Offered or Each 3(d) Outstanding (c)) g)) Market Maker who (See is Acquiring the Instr. Securities 3(e)Charles Schwab & \$1,05**65**055913,299 as 11/08/2013 Common 11000 **NYSE** Co., Inc. based of

09/30/2013

on

on 11/07/13 of \$96.005

FMV

P.O. Box 628290

Orlando, FL

32862-8290

Edgar Filing: HUMANA INC - Form 144

INSTRUCTIONS:

3. (a) Title of the class of securities to be sold

1. (a) Name of Issuer

- (b) Name and Address of each broker through whom the securities are intended
- (b) Issuer's I.R.S. Identification Number
- (c) Number of shares or other units to be sold (if debt securities, give the aggreg (d) Aggregate market value of the securities to be sold as of a specified date with
- (c) Issuer's S.E.C. file number, if any
- (e) Number of shares or other units of the class outstanding, or if debt securities

(g) Name of each securities exchange, if any, on which the securities are intended

- (d) Issuer's address, including zip code

- (e) Issuer's telephone number, including area doydene most recent report or statement published by the issuer
 - (f) Approximate date on which the securities are to be sold
- 2. (a) Name of person for whose account the securities are to be sold
 - (b) Such person's relationship to the issuer (e.g., officer, director, 10% stockholder, or member of immediate family of any of the foregoing)
 - (c) Such person's address, including zip

code

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 control number.

SEC 1147 (08-07)

TABLE I - SECURITIES TO BE SOLD

Furnish the following information with respect to the acquisition of the securities to be sold and with respect to the payment of all or any part of the purchase price or other consideration therefor.

	1 1	J				
Title of	Date you	Nature of	Name of the Person	Amount of	Date of	Nature of
the Class	Acquired	Acquisition	from Whom Acquired	Securities	Payment	Payment
		Transaction	(if gift, also give date	Acquired		
			donor acquired			
Common	12/5/2008	Stock Option	Issuer	6039	12/5/2008	Cash
Common	1/3/2006	Exercise	Issuer	1821	1/3/2006	N/A
Common	1/3/2011	Stock Award	Issuer	2255	1/3/2011	N/A
Common	1/3/2007	Stock Award	Issuer	885	1/3/2007	N/A
		Stock Award				

INSTRUCTIONS: If the securities were purchased and full payment therefor was not made in cash at the time of purchase, explain in the table or in a note thereto the nature of the consideration given. If the consideration consisted of any note or other obligation, or if payment was made in installments describe the arrangement and state when the note or other obligation was discharged in full or the last installment paid.

TABLE II - SECURITIES SOLD DURING THE PAST 3 MONTHS (1)

Furnish the following information as to all securities of the issuer sold during the past 3 months by the person for whose account the securities are to be sold.

Name and Address of Seller Title of Securities Amount of

Sold Date of Sale Securities Sold **Gross Proceeds**

None

REMARKS:

Stock option exercise and sale will occur on the same day.

INSTRUCTIONS: ATTENTION:

See the definition of "person" in paragraph (a) of RuleThe person for whose account the securities to which this 144. Information is to be given not only as to thenotice relates are to be sold hereby represents by signing this person for whose account the securities are to be soldnotice that he does not know any material adverse but also as to all other persons included in that information in regard to the current and prospective definition. In addition, information shall be given as tooperations of the issuer of the securities to be sold which has sales by all persons whose sales are required bynot been publicly disclosed. If each person has adopted a paragraph (e) of Rule 144 to be aggregated with saleswritten trading plan or given trading instructions to satisfy Rule 10b5-1 under the Exchange Act, by signing the form and for the account of the person filing this notice.

indicating the date that the plan was adopted or the instruction given, that person makes such representation as of the plan

Edgar Filing: HUMANA INC - Form 144

adoption or instruction date.

November 8, /s/ David A. Jones,
2013 Jr.
DATE OF NOTICE (SIGNATURE)

DATE OF PLAN OR GIVING OF INSTRUCTION, IF RELYING ON RULE 10B5-1

This notice shall be signed by the person for whose account the securities are to be sold. At least one copy of the notice shall be manually signed.

Any copies not manually signed shall bear typed or printed signatures.

ATTENTION: Intentional misstatements or omission of facts constitute Federal Criminal Violations (See 18 U.S.C. 1001)

SEC 1147 (02-08)