

Penczek Ronald W
Form 4
March 09, 2018

FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Penczek Ronald W

2. Issuer Name and Ticker or Trading Symbol
Anthem, Inc. [ANTM]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)

120 MONUMENT CIRCLE

03/07/2018

SVP, Chief Accounting Officer

(Street)

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

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

INDIANAPOLIS, IN 46204

(City) (State) (Zip)

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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount | (A) or (D) | Price |
| Common Stock | 03/07/2018 | | M | | 217 | A | \$ 146.93 |
| Common Stock | 03/07/2018 | | M | | 405 | A | \$ 131.8 |
| Common Stock | 03/07/2018 | | M | | 357 | A | \$ 166.97 |
| Common Stock | 03/07/2018 | | S | | 979 | D | \$ 231.99 |
| Common Stock | 03/07/2018 | | S | | 987 | D | \$ 231.82 |

Edgar Filing: Penczek Ronald W - Form 4

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

Persons who 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 1474
(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) | 8. F | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Employee Stock Option (Right to Buy) | \$ 146.93 | 03/07/2018 | | M | 217 | <u>(1)</u> 03/02/2025 | Common Stock | 217 | |
| Employee Stock Option (Right to Buy) | \$ 131.8 | 03/07/2018 | | M | 405 | <u>(2)</u> 03/01/2026 | Common Stock | 405 | |
| Employee Stock Option (Right to Buy) | \$ 166.97 | 03/07/2018 | | M | 357 | <u>(3)</u> 03/01/2027 | Common Stock | 357 | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Penczek Ronald W 120 MONUMENT CIRCLE INDIANAPOLIS, IN 46204 | | | SVP, Chief Accounting Officer | |

Signatures

/s/ Kathleen S. Kiefer, Attorney
in fact

03/09/2018

__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) The option represents a right to purchase a total of 1,301 shares, became is exercisable in six semi-annual installments, with one installment of 216 shares and five installments of 217 shares each, beginning on September 2, 2015, which is the six-month anniversary of the option grant date.

(2) The option represents a right to purchase a total of 2,432 shares, and is exercisable in six semi-annual installments, with four installments of 405 shares each and two installments of 406 shares each, beginning on September 1, 2016, which is the six-month anniversary of the option grant date.

(3) The option represents a right to purchase a total of 2,141 shares, and is exercisable in six semi-annual installments, with one installment of 356 shares and five installments of 357 shares each, beginning on September 1, 2017, which is the six-month anniversary of the option grant date.

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.