

GRIFFIN BRIAN T
Form 4
May 07, 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 *
GRIFFIN BRIAN T

(Last) (First) (Middle)
120 MONUMENT CIRCLE
(Street)

INDIANAPOLIS, IN 46204

(City) (State) (Zip)

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

3. Date of Earliest Transaction (Month/Day/Year)
05/03/2018

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
EVP & CEO, IngenioRx

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

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 Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock	05/03/2018		M		9,756 A \$ 61.88	25,619	D
Common Stock	05/03/2018		M		7,489 A \$ 146.93	33,108	D
Common Stock	05/03/2018		M		14,830 A \$ 89.44	47,938	D
Common Stock	05/03/2018		M		4,478 A \$ 152.78	52,416	D
Common Stock	05/03/2018		M		16,232 A \$ 131.8	68,648	D

Edgar Filing: GRIFFIN BRIAN T - Form 4

Common Stock	05/03/2018	M	6,636	A	\$ 166.97	75,284	D	
Common Stock	05/03/2018	S	54,497	D	\$ 224.32 (1)	20,787	D	
Common Stock	05/03/2018	S	4,924	D	\$ 225.35 (2)	15,863	D	
Common Stock						2,245	I	2016 GRAT Trust
Common Stock						17,767	I	2017 GRAT I Trust
Common Stock						17,767	I	2017 GRAT II Trust

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)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (Right to Buy)	\$ 61.88	05/03/2018		M	9,756	(3)	03/01/2020	Common Stock	9,756
Employee Stock Option (Right to	\$ 146.93	05/03/2018		M	7,489	(4)	03/02/2025	Common Stock	7,489

Buy)

Employee
Stock

Option (Right to Buy)	\$ 89.44	05/03/2018	M	14,830	<u>(5)</u>	03/03/2021	Common Stock	14,830
-----------------------------	----------	------------	---	--------	------------	------------	-----------------	--------

Employee
Stock

Option (Right to Buy)	\$ 152.78	05/03/2018	M	4,478	<u>(6)</u>	08/03/2025	Common Stock	4,478
-----------------------------	-----------	------------	---	-------	------------	------------	-----------------	-------

Employee
Stock

Option (Right to Buy)	\$ 131.8	05/03/2018	M	16,232	<u>(7)</u>	03/01/2026	Common Stock	16,232
-----------------------------	----------	------------	---	--------	------------	------------	-----------------	--------

Employee
Stock

Option (Right to Buy)	\$ 166.97	05/03/2018	M	6,636	<u>(8)</u>	03/01/2027	Common Stock	6,636
-----------------------------	-----------	------------	---	-------	------------	------------	-----------------	-------

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
GRIFFIN BRIAN T 120 MONUMENT CIRCLE INDIANAPOLIS, IN 46204			EVP & CEO, IngenioRx	

Signatures

/s/ Kathleen S. Kiefer, Attorney
in fact

05/07/2018

**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) This transaction was executed in multiple trades at prices ranging from \$224.13 to \$225.10. The price reported reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

(2) This transaction was executed in multiple trades at prices ranging from \$225.15 to \$225.49. The price reported reflects the weighted average sale price. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transaction was effected.

(3) The option represents a right to purchase a total of 9,756 shares, and is exercisable in six semi-annual installments of 1,626 shares each, beginning on September 1, 2013, which is the six-month anniversary of the option grant date.

Edgar Filing: GRIFFIN BRIAN T - Form 4

- (4) The option represents a right to purchase a total of 7,489 shares, and is exercisable in five semi-annual installments of 1,248 shares each and one installment of 1,249 shares, beginning on September 2, 2015, which is the six-month anniversary of the option grant date.
- The option represents a right to purchase a total of 14,830 shares, and is exercisable in six semi-annual installments, with two installments
- (5) of 2,471 shares each and four installments of 2,472 shares each, beginning on September 3, 2014, which is the six-month anniversary of the option grant date.
- The option represents a right to purchase a total of 5,374 shares, and is exercisable in six semi-annual installments, with two installments
- (6) of 895 shares each and four installments of 896 shares each, beginning on February 3, 2016, which is the six-month anniversary of the option grant date.
- (7) The option represents a right to purchase a total of 24,348 shares, and is exercisable in six semi-annual installments of 4,058 shares each, beginning on September 1, 2016, which is the six-month anniversary of the option grant date.
- (8) The option represents a right to purchase a total of 19,908 shares, and is exercisable in six semi-annual installments of 3,318 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.