AETNA INC /PA/ Form 4 July 05, 2017

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB

Expires:

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**OMB APPROVAL** 

3235-0287 January 31, 2005

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

(Print or Type Responses)

1. Name and Address of Reporting Person \*

1(b).

FARAH ROGER N Symbol AETNA INC /PA/ [AET] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) X\_ Director 10% Owner Officer (give title Other (specify C/O AETNA INC., 151 06/30/2017 below) **FARMINGTON AVENUE** (Street)

2. Issuer Name and Ticker or Trading

4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line)

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

5. Relationship of Reporting Person(s) to

Issuer

HARTFORD, CT 06156

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of TransactionAcquired (A) or Security (Month/Day/Year) Execution Date, if Securities Form: Direct Indirect (Instr. 3) Code Disposed of (D) Beneficially (D) or Beneficial (Month/Day/Year) (Instr. 8) (Instr. 3, 4 and 5) Owned Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Reported (A) Transaction(s) or (Instr. 3 and 4) Code V Amount (D) Price Common

3,000 D Stock

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

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

#### Edgar Filing: AETNA INC /PA/ - Form 4

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number of or Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exerc<br>Expiration D<br>(Month/Day/ | ate                | 7. Title and A<br>Underlying S<br>(Instr. 3 and | Securities                       |
|---|---|--------------------------------------|---|---|--|--|--------------------|---|----------------------------------|
|   |   |                                      |   | Code V                                  | (A) (D)  | Date<br>Exercisable                          | Expiration<br>Date | Title   | Amount or<br>Number of<br>Shares |
| Phantom<br>Stock<br>Units (1)                       | <u>(2)</u>  | 06/30/2017                           |   | A                                       | 210.762  | <u>(1)</u>                                   | <u>(1)</u>         | Common<br>Stock                                 | 210.762                          |

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

FARAH ROGER N C/O AETNA INC. 151 FARMINGTON AVENUE HARTFORD, CT 06156

## **Signatures**

ROGER N. FARAH, by Melinda Westbrook, Attorney-in-Fact

07/05/2017

\*\*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).
  - Units accrued under the Aetna Inc. Non-employee Director Compensation Plan (the "Plan") pursuant to the deferral of Director Fees.
- (1) Subject to terms of the Plan, units may be settled in Aetna Common Stock, in cash, or a combination of both upon the retirement of the Reporting Person.
- (2) Units convert to Common Stock on a one-for-one basis.
- (3) Includes units accrued under the Plan pursuant to reinvestment of dividend equivalents.

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.

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