MCCARTHY GLORIA M

Form 4 March 05, 2019

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

SECURITIES

OMB Number:

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if no longer subject to Section 16. Form 4 or Form 5 obligations

may continue.

See Instruction

Check this box

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * MCCARTHY GLORIA M			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	(Check all applicable)			
			(Month/Day/Year)	Director 10% Owner			
220 VIRGINIA AVENUE			03/01/2019	X Officer (give title Other (specify below) EVP & Chief Administrative Off			
	(Street)		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			
INDIANAPOLIS, IN 46204				Form filed by More than One Reporting Person			

(City)	(State)	(Zip) Tab	le I - Non-l	Derivative	Secu	rities Acqu	iired, Disposed of	, or Beneficial	ly 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)	Transactior(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code V	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)	(Instr. 4)	
Common Stock	03/01/2019		F	6,342 (1)	D	\$ 307.68	32,414.1293	D	
Common Stock	03/01/2019		A	9,125 (2)	A	\$ 0	41,539.1293	D	
Common Stock	03/01/2019		A	2,641 (3)	A	\$ 0	44,180.1293	D	
Common Stock	03/01/2019		A	1,087 (4)	A	\$ 0	45,267.1293	D	
Common Stock	03/04/2019		M	1,362	A	\$ 146.93	46,629.1293	D	

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Common Stock	03/04/2019	S(5)	500	D	\$ 300.12 <u>(6)</u>	46,129.1293	D
Common Stock	03/04/2019	S(5)	500	D	\$ 301.46 <u>(7)</u>	45,629.1293	D
Common Stock	03/04/2019	S(5)	2,500	D	\$ 302.32 (8)	43,129.1293	D
Common Stock	03/04/2019	S(5)	1,500	D	\$ 303.22 <u>(9)</u>	41,629.1293	D
Common Stock	03/04/2019	S(5)	600	D	\$ 304.09 (10)	41,029.1293	D
Common Stock	03/04/2019	S(5)	1,101	D	\$ 306.32 (11)	39,928.1293	D
Common Stock	03/04/2019	S(5)	600	D	\$ 307.54 (12)	39,328.1293	D
Common Stock	03/04/2019	S(5)	400	D	\$ 308.35 (13)	38,928.1293	D

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)

 $\label{thm:convergence} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (e.g., puts, calls, warrants, options, convertible securities) \end{tabular}$

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. Transactic Code (Instr. 8)	5. Number of or 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 Underlying Securitie (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amou or Numb of Sha
Employee Stock Option	\$ 307.68	03/01/2019		A	12,187		(14)	03/01/2029	Common Stock	12,18

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(Right to Buy)

Employee

Stock

Option \$ 146.93 03/04/2019

M

1,362

(15) 03/02/2025

Common

Stock

1,36

(Right to Buy)

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

MCCARTHY GLORIA M 220 VIRGINIA AVENUE INDIANAPOLIS, IN 46204

EVP & Chief Administrative Off

Signatures

/s/ Kathleen S. Kiefer, Attorney in fact

03/05/2019

**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) PAYMENT OF TAX LIABILITY BY WITHHOLDING STOCK INCIDENT TO THE VESTING OF PREVIOUSLY GRANTED RESTRICTED STOCK.
- (2) Represents performance based restricted share units. Restrictions lapse on 3/1/19.
- (3) Represents restricted share units. Restrictions lapse as follows: 880 shares each on 3/1/2020 and 3/1/2021, and 881 on 3/1/2022.
- (4) Represents performance based restricted share units. Restrictions lapse on 10/3/19.
- (5) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on November 16, 2018.
- This transaction was executed in multiple trades at prices ranging from \$299.70 to \$300.62 The price reported reflects the weighted

 (6) 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.
- This transaction was executed in multiple trades at prices ranging from \$300.87 to \$301.79. 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.
- This transaction was executed in multiple trades at prices ranging from \$301.88 to \$302.73. 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.
- This transaction was executed in multiple trades at prices ranging from \$302.92 to \$303.60. 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.
- This transaction was executed in multiple trades at prices ranging from \$303.93 to \$304.24. The price reported reflects the weighted (10) 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.

(11)

Reporting Owners 3

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This transaction was executed in multiple trades at prices ranging from \$305.79 to \$306.62. 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.

- This transaction was executed in multiple trades at prices ranging from \$307.17 to \$308.13. 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.
- This transaction was executed in multiple trades at prices ranging from \$308.23 to \$308.50. 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.
- The option represents a right to purchase a total of 12,187 shares, and is exercisable in three annual installments, with two installments (14) of 4,062 shares each and one installment of 4,063 shares, beginning on 3/1/2020, which is the one-year anniversary of the option grant date
- ? The option represents a right to purchase a total of 16,762 shares, and is exercisable in six semi-annual installments, with four (15) installments of 2,794 shares each and two installments of 2,793 shares each, beginning on 9/2/2015, which is the six-month anniversary of 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.