

GUERTIN SHAWN M
Form 4
September 26, 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 *
GUERTIN SHAWN M

(Last) (First) (Middle)

AETNA INC., 151 FARMINGTON AVENUE

(Street)

HARTFORD, CT 06156

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
AETNA INC /PA/ [AET]

3. Date of Earliest Transaction (Month/Day/Year)
09/24/2018

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)
Exec. Vice President, CFO

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 Indirect Beneficial Ownership (Instr. 4)		
				(A) or (D)	Price				
Common Stock	06/26/2018		G	V	2,500	D	\$ 0 46,237	D	
Common Stock	09/24/2018		M		1,856 ⁽¹⁾	A	\$ 0 11,919	D	
Common Stock	09/24/2018		F		861 ⁽²⁾	D	\$ 203.4 11,058	D	
Common Stock							25,000 ⁽³⁾	I	BY 2018 CRUT ⁽⁴⁾
Common Stock							11,174 ⁽⁵⁾	I	BY 2018 GRAT ⁽⁶⁾

Common
Stock

632.4519 ⁽⁷⁾ I

By 401(k)
Plan

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 (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. Amount or Number of Shares
2015 Performance Stock Units	⁽⁸⁾	09/24/2018		M	1,546	⁽⁹⁾ ⁽⁹⁾	Common Stock	1,546

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
GUERTIN SHAWN M AETNA INC. 151 FARMINGTON AVENUE HARTFORD, CT 06156			Exec. Vice President, CFO	

Signatures

Shawn M. Guertin, by Adam F. McAnaney,
Attorney-in-fact

09/26/2018

⁽⁹⁾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) Represents vesting of previously reported Performance Stock Units (PSUs) granted under the 2010 Stock Incentive Plan (the "Plan").
- (2) Represents tax withholding on previously reported PSUs granted under the Plan.

Edgar Filing: GUERTIN SHAWN M - Form 4

- (3) On July 24, 2018, 25,000 shares from sole account were voluntarily transferred to 2018 Charitable Remainder Unitrust ("CRUT").
- (4) Represents shares held in CRUT where Mr. Guertin is sole trustee.
- (5) On July 24, 2018, 11,174 shares from sole account were voluntarily transferred to 2018 Grantor Retained Annuity Trust ("GRAT")
- (6) Represents shares held in GRAT where Mr. Guertin is sole trustee.
- (7) Represents the pro rata portion of the stock portion of Aetna Common Stock Fund held by reporting person on August 31, 2018 pursuant to Aetna Inc. 401(k) Plan. The information is based on information provided by the Plan Trustee as of that date.
- (8) Each Performance Stock Unit represents a right to receive up to two shares of Aetna Inc. Common Stock net of taxes.
- (9) Vesting of previously reported PSUs granted under the Plan on September 24, 2015.

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.