

Bertolini Mark T
Form 4
March 06, 2018

FORM 4

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

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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Bertolini Mark T

(Last) (First) (Middle)

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)
03/02/2018

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)

Chairman and CEO

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)
Common Stock	03/02/2018		M	(A) or (D) Amount (1) 8,358	Price (2) 285,207	D	
Common Stock	03/02/2018		F	(3) 3,791	\$ 177.53	D	
Common Stock	03/02/2018		M	(4) 41,195	(5) 322,611	D	
Common Stock	03/02/2018		F	(6) 18,683	\$ 177.53	D	
Common Stock					119,447	I	By CLAT (7)

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Common Stock	295,436	I	By 2016 GRAT ⁽⁸⁾
Common Stock	158,635	I	By 2017 GRAT ⁽⁹⁾
Common Stock	107,576	I	By 2017 GRAT II ⁽¹⁰⁾

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

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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 Security (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Restricted Stock Units	(2)	03/02/2018		M		8,358		(11)	(11)	Common Stock	8,358
Performance Stock Units	(5)	03/02/2018		M		34,329		(12)	(12)	Common Stock	34,329
Restricted Stock Units	(2)	03/02/2018		A		76,044		(13)	(13)	Common Stock	76,044
Restricted Stock Units	(2)	03/02/2018		A		17,572		(14)	(14)	Common Stock	17,572

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Bertolini Mark T 151 FARMINGTON AVENUE HARTFORD, CT 06156	X		Chairman and CEO	

Signatures

Mark T. Bertolini by Judith H. Jones,
Attorney-in-Fact

03/06/2018

__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) Represents vesting of previously reported Restricted Stock Units ("RSUs") granted under the Aetna Inc. 2010 Stock Incentive Plan (the "Plan").
- (2) Each RSU represents a right to receive one share of Aetna Inc. Common Stock net of taxes.
- (3) Represents tax withholding on vesting of previously reported RSUs.
- (4) Represents vesting of previously reported Performance Stock Units ("PSUs") granted under the Plan.
- (5) Each PSU represents a right to receive up to two shares of Aetna Inc. Common Stock net of taxes.
- (6) Represents tax withholding on vesting of previously reported PSUs.
- (7) Represents shares held in Charitable Lead Annuity Trust ("CLAT") where Reporting Person is investment advisor.
- (8) Represents shares held by 2016 Grantor Retained Annuity Trust ("GRAT") where Reporting Person is sole trustee.
- (9) Represents shares held by 2017 GRAT where Reporting Person is sole trustee.
- (10) Represents shares held by 2017 GRAT II where Reporting Person is sole trustee.
- (11) RSUs granted under the Plan.
- (12) PSUs granted under the Plan.
- (13) RSUs granted under the Plan vest in three annual installments beginning December 2, 2018.
- (14) RSUs granted under the Plan vest in three annual installments beginning March 2, 2019.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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