

CVS HEALTH Corp
Form 4
February 17, 2017

FORM 4

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

OMB APPROVAL

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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 *
Roberts Jonathan C

(Last) (First) (Middle)

ONE CVS DRIVE

(Street)

WOONSOCKET, RI 02895-

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
CVS HEALTH Corp [CVS]

3. Date of Earliest Transaction
(Month/Day/Year)
02/16/2017

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 & President, CVS Caremark

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)
			Code	V Amount (D) Price			
Common Stock	02/16/2017		M	61,196 A \$ 36.23	89,955.1293	D	
Common Stock	02/16/2017		S ⁽¹⁾	61,196 D \$ 80	28,759.1293	D	
Common Stock (pep)					11,702.5082	D	
Common Stock (restricted)					60,753	D	
ESOP Common					5,319.994	I	By ESOP

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Stock

Stock Unit

113,725.4939 D

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

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(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 Number of Shares
Stock Option	\$ 36.23	02/16/2017		M	61,196	04/01/2011 ⁽²⁾	04/01/2017	Common Stock	61,196
Phantom Stock Credits	\$ 1					⁽³⁾	⁽³⁾	Common Stock	1,410
Stock Option	\$ 34.96					04/01/2012 ⁽⁴⁾	04/01/2018	Common Stock	85,000
Stock Option	\$ 45.07					04/02/2013 ⁽⁵⁾	04/02/2019	Common Stock	77,000
Stock Option	\$ 54.53					04/01/2014 ⁽⁶⁾	04/01/2020	Common Stock	68,000
Stock Option	\$ 74.29					04/01/2015 ⁽⁷⁾	04/01/2021	Common Stock	73,000
Stock Option	\$ 45.93					09/04/2015 ⁽⁸⁾	09/04/2022	Common Stock	108,000
Stock Option	\$ 102.26					04/01/2016 ⁽⁹⁾	04/01/2022	Common Stock	68,000
Stock Option	\$ 104.82					04/01/2017 ⁽¹⁰⁾	04/01/2023	Common Stock	161,000

Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners

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Director 10% Owner Officer

Other

Roberts Jonathan C
ONE CVS DRIVE
WOONSOCKET, RI 02895-

EVP & President, CVS Caremark

Signatures

Jonathan C.
Roberts 02/17/2017

__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).
- (1) All sales were effected pursuant to a Rule 10b5-1 plan.
- (2) Option became exercisable in three annual installments, commencing 4/1/2011.
- (3) Reflects year-end company-match share credits under a non-qualified deferred compensation plan; share credits are payable in cash only, at such time as has been elected by the reporting person.
- (4) Option became exercisable in four equal annual installments, commencing 4/1/2012.
- (5) Option became exercisable in four equal annual installments, commencing 4/2/2013.
- (6) Option became exercisable in four equal annual installments, commencing 4/1/2014.
- (7) Option became exercisable in four equal annual installments, commencing 4/1/2015.
- (8) Option became exercisable in three equal annual installments, commencing 9/4/2015.
- (9) Option became exercisable in four equal annual installments, commencing 4/1/2016.
- (10) Option becomes exercisable in four equal annual installments, commencing 4/1/2017.

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.