

CVS HEALTH Corp  
Form 4  
March 14, 2017

**FORM 4**

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

OMB APPROVAL

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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 \*  
Sussman Andrew

(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)  
03/13/2017

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, Clinical Services

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                    | 03/13/2017                           |  | M                              | 6,655 A \$ 45.07  | 22,801  | D  |   |
| Common Stock                    | 03/13/2017                           |  | S <sup>(1)</sup>               | 6,655 D \$ 80.4   | 16,146  | D  |   |
| Common Stock                    | 03/13/2017                           |  | S <sup>(1)</sup>               | 7,449 D \$ 80.4   | 8,697   | D  |   |
| Common Stock (restricted)       |                                      |  |                                |   | 17,313  | D  |   |
| Stock Unit                      |                                      |  |                                |   | 10,144.5863   | D  |   |

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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 or Number of Shares |
| Stock Option                               | \$ 45.07   | 03/13/2017                           |  | M                              | 6,655   | 04/02/2012 <sup>(2)</sup>                                | 04/02/2019  | Common Stock | 6,655                      |
| Stock Option                               | \$ 54.53   |                                      |  |                                |   | 04/01/2014 <sup>(3)</sup>                                | 04/01/2020  | Common Stock | 11,802                     |
| Stock Option                               | \$ 74.29   |                                      |  |                                |   | 04/01/2015 <sup>(4)</sup>                                | 04/01/2021  | Common Stock | 29,373                     |
| Stock Option                               | \$ 102.26  |                                      |  |                                |   | 04/01/2016 <sup>(5)</sup>                                | 04/01/2022  | Common Stock | 23,968                     |
| Stock Option                               | \$ 104.82  |                                      |  |                                |   | 04/01/2017 <sup>(6)</sup>                                | 04/01/2023  | Common Stock | 23,301                     |

## Reporting Owners

| Reporting Owner Name / Address                          | Relationships |           |                        |       |
|---|---------------|-----------|------------------------|-------|
|   | Director      | 10% Owner | Officer                | Other |
| Sussman Andrew<br>ONE CVS DRIVE<br>WOONSOCKET, RI 02895 |               |           | EVP, Clinical Services |       |

## Signatures

/s/ Andrew Sussman 03/14/2017

\*\*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 four equal annual installments, commencing 4/2/2013.
- (3) Option became exercisable in four equal annual installments, commencing 4/1/2014.
- (4) Option became exercisable in four equal annual installments, commencing 4/1/2015.
- (5) Option became exercisable in four equal annual installments, commencing 4/1/2016.
- (6) 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.

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