

CVS HEALTH Corp  
Form 4  
April 04, 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 \*  
Roberts Jonathan C

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
ONE CVS DRIVE  
  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
04/02/2017

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
EVP & Chief Operating Officer

WOONSOCKET, RI 02895-

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

(City) (State) (Zip)

**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                    | 04/02/2017                           |                                                    | F                              | 4,655 (1) D \$ 78.5                                               | 33,812.1293                                                                                   | D                                                        |                                                       |
| Common Stock (restricted)       | 04/03/2017                           |                                                    | A                              | 25,624 (2) A \$ 78.05                                             | 70,780                                                                                        | D                                                        |                                                       |
| Common Stock (pep)              |                                      |                                                    |                                |                                                                   | 11,702.5082                                                                                   | D                                                        |                                                       |
| ESOP Common Stock               |                                      |                                                    |                                |                                                                   | 5,319.994                                                                                     | I                                                        | By ESOP                                               |
| Stock Unit                      |                                      |                                                    |                                |                                                                   | 141,331.4939                                                                                  | 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 Security (Instr. 3 and 4) |              |        |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|-------------------------------------------------------------|--------------|--------|
|                                            |                                                        |                                      |                                                    | Code                           | V (A) (D)                                                                               | Date Exercisable                                         | Expiration Date                                             | Title        | Amount |
| Stock Option                               | \$ 78.05                                               | 04/03/2017                           |                                                    | A                              | 200,358                                                                                 | 04/03/2018 <sup>(3)</sup>                                | 04/03/2024                                                  | Common Stock | 20     |
| Phantom Stock Credits                      | \$ 1                                                   |                                      |                                                    |                                |                                                                                         | <sup>(4)</sup>                                           | <sup>(4)</sup>                                              | Common Stock | 1,4    |
| Stock Option                               | \$ 34.96                                               |                                      |                                                    |                                |                                                                                         | 04/01/2012 <sup>(5)</sup>                                | 04/01/2018                                                  | Common Stock | 8      |
| Stock Option                               | \$ 45.07                                               |                                      |                                                    |                                |                                                                                         | 04/02/2013 <sup>(6)</sup>                                | 04/02/2019                                                  | Common Stock | 7      |
| Stock Option                               | \$ 54.53                                               |                                      |                                                    |                                |                                                                                         | 04/01/2014 <sup>(7)</sup>                                | 04/01/2020                                                  | Common Stock | 6      |
| Stock Option                               | \$ 74.29                                               |                                      |                                                    |                                |                                                                                         | 04/01/2015 <sup>(8)</sup>                                | 04/01/2021                                                  | Common Stock | 7      |
| Stock Option                               | \$ 45.93                                               |                                      |                                                    |                                |                                                                                         | 09/04/2015 <sup>(9)</sup>                                | 09/04/2022                                                  | Common Stock | 10     |
| Stock Option                               | \$ 102.26                                              |                                      |                                                    |                                |                                                                                         | 04/01/2016 <sup>(10)</sup>                               | 04/01/2022                                                  | Common Stock | 6      |
| Stock Option                               | \$ 104.82                                              |                                      |                                                    |                                |                                                                                         | 04/01/2017 <sup>(11)</sup>                               | 04/01/2023                                                  | Common Stock | 16     |

## Reporting Owners

| Reporting Owner Name / Address                               | Relationships |           |                               |       |
|--------------------------------------------------------------|---------------|-----------|-------------------------------|-------|
|                                                              | Director      | 10% Owner | Officer                       | Other |
| Roberts Jonathan C<br>ONE CVS DRIVE<br>WOONSOCKET, RI 02895- |               |           | EVP & Chief Operating Officer |       |

## Signatures

Jonathan C.  
Roberts

04/04/2017

    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) Surrender of shares in payment of withholding taxes due upon the vesting of a restricted stock unit award.
- (2) Consists of restricted stock units awarded pursuant to Issuer's 2010 Incentive Compensation Plan. Restrictions lapse 50% on 4/3/2020 and 50% on 4/3/2022.
- (3) Option becomes exercisable in four equal annual installments, commencing 4/3/2018.
- (4) 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.
- (5) Option became exercisable in four equal annual installments, commencing 4/1/2012.
- (6) Option became exercisable in four equal annual installments, commencing 4/2/2013.
- (7) Option became exercisable in four equal annual installments, commencing 4/1/2014.
- (8) Option became exercisable in four equal annual installments, commencing 4/1/2015.
- (9) Option became exercisable in three equal annual installments, commencing 9/4/2015.
- (10) Option became exercisable in four equal annual installments, commencing 4/1/2016.
- (11) Option became 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.