

Flum Joshua Matthew  
Form 3/A  
April 12, 2019

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

## INITIAL STATEMENT OF 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  
Number: 3235-0104  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting  
Person \*

Flum Joshua Matthew

(Last)

(First)

(Middle)

ONE CVS DRIVE

(Street)

WOONSOCKET, RI 02895

(City)

(State)

(Zip)

2. Date of Event Requiring  
Statement

(Month/Day/Year)

11/28/2018

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

4. Relationship of Reporting  
Person(s) to Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner

☒ Officer \_\_\_\_ Other  
(give title below) (specify below)

EVP, Ent. Strategy & Digital

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

11/30/2018

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 Beneficially Owned

1. Title of Security  
(Instr. 4)

2. Amount of Securities  
Beneficially Owned  
(Instr. 4)

3. Ownership  
Form:  
Direct (D)  
or Indirect  
(I)  
(Instr. 5)

4. Nature of Indirect Beneficial  
Ownership  
(Instr. 5)

Common Stock

14,690

D

^

Common Stock (pep)

2,616.0772

D

^

Common Stock (restricted)

1,385

D

^

Common Stock (restricted)

814

D

^

Common Stock (restricted)

378

D

^

Common Stock (restricted)

2,444

D

^

Common Stock (restricted)

2,146

D

^

Common Stock (restricted)

6,027

D

^

Common Stock (restricted)

3,523

D

^

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

SEC 1473 (7-02)

**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.**

**Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Stock Option	04/01/2014 <sup>(1)</sup>	04/01/2020	Common Stock	17,703	\$ 54.53	D	Â
Stock Option	04/01/2014 <sup>(2)</sup>	04/01/2021	Common Stock	21,460	\$ 34.96	D	Â
Stock Option	04/01/2015 <sup>(3)</sup>	04/01/2021	Common Stock	25,177	\$ 74.29	D	Â
Stock Option	04/01/2016 <sup>(4)</sup>	04/01/2022	Common Stock	17,822	\$ 102.26	D	Â
Stock Option	04/01/2017 <sup>(5)</sup>	04/01/2023	Common Stock	17,611	\$ 104.82	D	Â
Stock Option	02/27/2018 <sup>(6)</sup>	02/27/2025	Common Stock	24,060	\$ 103.87	D	Â
Stock Option	04/03/2018 <sup>(7)</sup>	04/03/2024	Common Stock	30,169	\$ 78.05	D	Â
Stock Option	04/01/2019 <sup>(8)</sup>	04/01/2025	Common Stock	22,541	\$ 62.21	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Flum Joshua Matthew ONE CVS DRIVE WOONSOCKET, RI 02895	Â	Â	Â EVP, Ent. Strategy & Digital	Â

## Signatures

/s/ Joshua M.  
Flum

04/12/2019

\*\*Signature of  
Reporting Person

Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, *see* Instruction 5(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) Options became exercisable in four equal annual installments beginning on 4/1/2014.
- (2) Options became exercisable in three equal annual installments beginning on 4/1/2014.
- (3) Options became exercisable in four equal annual installments beginning on 4/1/2015.
- (4) Options became exercisable in four equal annual installments beginning on 4/1/2016.
- (5) Options became exercisable in four equal annual installments beginning on 4/1/2017.
- (6) Options became exercisable in three equal annual installments beginning on 2/27/2018.
- (7) Options became exercisable in four equal annual installments beginning on 4/3/2018.
- (8) Options become exercisable in four equal annual installments, commencing 4/1/2019.

Â

### Remarks:

ThisÂ FormÂ 3/AÂ isÂ beingÂ filedÂ toÂ reflectÂ theÂ correctÂ addressÂ ofÂ theÂ reportingÂ personÂ andÂ toÂ reflectÂ

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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