

CVS HEALTH Corp  
Form 4  
April 04, 2017

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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)  
04/01/2017

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_\_\_ Director \_\_\_ 10% Owner  
\_X\_ Officer (give title below) \_\_\_ Other (specify below)

EVP, Clinical Services

6. Individual or Joint/Group Filing(Check Applicable Line)  
\_X\_ 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 Ownership (Instr. 4)
			Code	V Amount (D) Price			
Common Stock	04/01/2017		F	1,129 (1) D \$ 78.5	13,252	D	
Common Stock	04/02/2017		F	1,596 D \$ 78.5	11,656	D	
Common Stock (restricted)	04/03/2017		A	4,804 (2) A \$ 78.05	16,433	D	
Stock Unit					10,144.5863	D	

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 Securities (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option	\$ 78.05	04/03/2017		A	37,567	04/03/2018 <sup>(3)</sup>	04/03/2024	Common Stock	37,567
Stock Option	\$ 36.96					09/01/2012 <sup>(4)</sup>	09/01/2019	Common Stock	0
Stock Option	\$ 54.53					04/01/2014 <sup>(5)</sup>	04/01/2020	Common Stock	11,800
Stock Option	\$ 74.29					04/01/2015 <sup>(6)</sup>	04/01/2021	Common Stock	29,375
Stock Option	\$ 102.26					04/01/2016 <sup>(7)</sup>	04/01/2022	Common Stock	23,960
Stock Option	\$ 104.82					04/01/2017 <sup>(8)</sup>	04/01/2023	Common Stock	23,300

## Reporting Owners

### Reporting Owner Name / Address

### Relationships

Director 10% Owner Officer Other

Sussman Andrew  
ONE CVS DRIVE  
WOONSOCKET, RI 02895

EVP, Clinical Services

## Signatures

/s/ Andrew  
Sussman

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) Option became exercisable in three equal annual installments, commencing 9/1/2012.
- (5) Option became exercisable in four equal annual installments, commencing 4/1/2014.
- (6) Option became exercisable in four equal annual installments, commencing 4/1/2015.
- (7) Option became exercisable in four equal annual installments, commencing 4/1/2016.
- (8) 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.

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