

CVS HEALTH Corp  
Form 4  
April 04, 2017

**FORM 4**

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

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

## OMB APPROVAL

OMB  
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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Brennan Troyen A

(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 and Chief Medical Officer

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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired<br>(A) or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Ownership<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|--------------------------------------------------------------------------------|
| Common<br>Stock                       | 04/01/2017                              |                                                             | F                                    | (A)<br>or<br>(D)<br>Amount<br>(1)<br>2,097<br>D                         | \$ 78.5 81,058.059                                                                                                 | D                                                                    |                                                                                |
| Common<br>Stock                       | 04/02/2017                              |                                                             | F                                    | (A)<br>or<br>(D)<br>Amount<br>(1)<br>3,990<br>D                         | \$ 78.5 77,068.059                                                                                                 | D                                                                    |                                                                                |
| Common<br>Stock<br>(restricted)       | 04/03/2017                              |                                                             | A                                    | (A)<br>or<br>(D)<br>Amount<br>(2)<br>9,609<br>A                         | \$ 78.05 33,486                                                                                                    | D                                                                    |                                                                                |

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

**Persons who respond to the collection of  
information contained in this form are not  
required to respond unless the form**

SEC 1474  
(9-02)

**displays a currently valid OMB control number.**

**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                              |                                                                                         | 75,134                                                   |     | 04/03/2018 <sup>(3)</sup>                                     | 04/03/2024      | Common Stock | 75,134                     |
| Stock Option                               | \$ 54.53                                               |                                      |                                                    |                                |                                                                                         |                                                          |     | 04/01/2014 <sup>(4)</sup>                                     | 04/01/2020      | Common Stock | 23,604                     |
| Stock Option                               | \$ 74.29                                               |                                      |                                                    |                                |                                                                                         |                                                          |     | 04/01/2015 <sup>(5)</sup>                                     | 04/01/2021      | Common Stock | 54,550                     |
| Stock Option                               | \$ 102.26                                              |                                      |                                                    |                                |                                                                                         |                                                          |     | 04/01/2016 <sup>(6)</sup>                                     | 04/01/2022      | Common Stock | 47,937                     |
| Stock Option                               | \$ 104.82                                              |                                      |                                                    |                                |                                                                                         |                                                          |     | 04/01/2017 <sup>(7)</sup>                                     | 04/01/2023      | Common Stock | 53,772                     |

## Reporting Owners

| Reporting Owner Name / Address                            | Relationships |           |                                        |       |
|-----------------------------------------------------------|---------------|-----------|----------------------------------------|-------|
|                                                           | Director      | 10% Owner | Officer                                | Other |
| Brennan Troyen A<br>ONE CVS DRIVE<br>WOONSOCKET, RI 02895 |               |           | EVP and<br>Chief<br>Medical<br>Officer |       |

## Signatures

/s/ Troyen  
Brennan

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.

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