Clark James David Form 4 April 03, 2019

## FORM 4

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

**OMB APPROVAL** OMB

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obligations

Check this box

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 may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Clark James David Issuer Symbol CVS HEALTH Corp [CVS] (Check all applicable) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner X\_ Officer (give title \_ Other (specify ONE CVS DRIVE 04/01/2019 below) SVP, Cont & Chief Acct Officer (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line)

#### WOONSOCKET, RI 02895

(State)

(7:m)

(City)

(City)	(State) (Z	Table	I - Non-De	rivative S	ecurit	ties Acqui	ired, Disposed of,	or Beneficiall	y Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactic Code (Instr. 8)	4. Security or(A) or Di (Instr. 3,	spose	d of (D)	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)	
Common Stock (restricted)	04/01/2019		A	5,536 (1)	A	\$ 54.19	13,793	D		
Common Stock	04/01/2019		F	253 (2)	D	\$ 54.19	9,135.2554	D		

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

### Edgar Filing: Clark James David - Form 4

# 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. Transactic Code (Instr. 8)	5. Number of or 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 o Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Share
Stock Option	\$ 54.19	04/01/2019		A	24,240	04/01/2020(3)	04/01/2029	Common Stock	24,240
Stock Option	\$ 54.53					04/01/2014(4)	04/01/2020	Common Stock	3,030
Stock Option	\$ 74.29					04/01/2015(5)	04/01/2021	Common Stock	5,350
Stock Option	\$ 102.26					04/01/2016(6)	04/01/2022	Common Stock	6,059
Stock Option	\$ 104.82					04/01/2017(7)	04/01/2023	Common Stock	7,044
Stock Option	\$ 78.05					04/03/2018(8)	04/03/2024	Common Stock	9,050
Stock Option	\$ 62.21					04/01/2019(9)	04/01/2025	Common Stock	7,513

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Clark James David ONE CVS DRIVE WOONSOCKET, RI 02895

SVP, Cont & Chief Acct Officer

## **Signatures**

/s/ James D. 04/03/2019 Clark

\*\*Signature of Date
Reporting Person

Reporting Owners 2

## **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) Consists of restricted stock units awarded pursuant to Issuer's 2017 Incentive Compensation Plan. Restrictions lapse in four equal installments, commencing 4/1/2020.
- (2) Surrender of shares in payment of withholding taxes due upon the vesting of a stock award under an incentive compensation plan.
- (3) Option becomes exercisable in four equal annual installments, commencing 4/1/2020.
- (4) Remaining options became exercisable in four equal annual installments beginning on 4/1/2014.
- (5) Remaining options became exercisable in four equal annual installments beginning on 4/1/2015.
- (6) Options became exercisable in four equal annual installments beginning on 4/1/2016.
- (7) Options became exercisable in four equal annual installments beginning on 4/1/2017.
- (8) Options became exercisable in four equal annual installments beginning on 4/3/2018.
- (9) Option became exercisable in four equal annual installments, commencing 4/1/2019.

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.