Express Scripts Holding Co. Form 4

December 03, 2015

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Form 5 obligations may continue. See Instruction

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

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 Akins Martin P. Issuer Symbol Express Scripts Holding Co. [ESRX] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) Director 10% Owner X\_ Officer (give title Other (specify C/O EXPRESS SCRIPTS 12/01/2015 below) HOLDING COMPANY, ONE Senior VP & General Counsel **EXPRESS WAY** (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line)

ST. LOUIS, MO 63121

(State)

(Zip)

(City)

Form filed by More than One Reporting Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

\_X\_ Form filed by One Reporting Person

1. Title of 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of Security (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Securities Form: Direct Indirect (Instr. 3) Code Disposed of (D) Beneficially (D) or Beneficial (Instr. 3, 4 and 5) Ownership (Month/Day/Year) (Instr. 8) Owned Indirect (I) Following (Instr. 4) (Instr. 4) Reported (A) Transaction(s) or (Instr. 3 and 4)

Code V Amount (D) Price

Common \$0 12/01/2015 6.910 11,533.16 D (1) Stock

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.

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

**OMB APPROVAL** 

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January 31,

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0.5

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#### Edgar Filing: Express Scripts Holding Co. - Form 4

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(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 Amou<br>Underlying Securi<br>(Instr. 3 and 4)  |                           |
|---|---|--------------------------------------|---|---|--|--|--------------------|---|---------------------------|
|   |   |                                      |   | Code V                                  | (A) (D)  | Date<br>Exercisable                                      | Expiration<br>Date | Title   | Amor<br>or<br>Num<br>of S |
| Non-Qualified<br>Stock Option<br>(Right-to-Buy)     | \$ 86.82  | 12/01/2015                           |   | A                                       | 34,909   | (2)  | 12/01/2025         | Express<br>Scripts<br>Holding<br>Company<br>Common<br>Stock | 34.                       |

## **Reporting Owners**

| Reporting Owner Name / Address   | Relationships |           |                                   |       |  |  |
|--|---------------|-----------|-----------------------------------|-------|--|--|
| . 6  | Director      | 10% Owner | Officer                           | Other |  |  |
| Akins Martin P. C/O EXPRESS SCRIPTS HOLDING COMPANY ONE EXPRESS WAY ST. LOUIS MO 63121 |               |           | Senior VP<br>& General<br>Counsel |       |  |  |

# **Signatures**

Reporting Person

/s/ Martin P.
Akins
12/03/2015

\*\*Signature of 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) Grant of restricted stock units pursuant to Express Scripts, Inc. 2011 Long-Term Incentive Plan. Award vests in three equal installments on December 1, 2016, December 1, 2017 and December 1, 2018.
- Grant of stock option pursuant to Express Scripts, Inc. 2011 Long-Term Incentive Plan. Award vests in three equal installments on December 1, 2016, December 1, 2017, and December 1, 2018.

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.

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