

Lotvin Alan
Form 3
June 08, 2018

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

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

(Print or Type Responses)

1. Name and Address of Reporting
Person *

Lotvin Alan

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

06/04/2018

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

4. Relationship of Reporting
Person(s) to Issuer

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

ONE CVS DRIVE

(Street)

(Check all applicable)

____ Director ____ 10% Owner
__X__ Officer ____ Other
(give title below) (specify below)
EVP, Transformation

6. Individual or Joint/Group
Filing(Check Applicable Line)
__X__ Form filed by One Reporting
Person
____ Form filed by More than One
Reporting Person

WOONSOCKET, RI 02895

(City)

(State)

(Zip)

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	4,511.85	D	^
Common Stock	456.848 ⁽¹⁾	I	By Children's Trusts
Common Stock (restricted)	450 ⁽²⁾	D	^
Common Stock (restricted)	6,027 ⁽³⁾	D	^
Common Stock (restricted)	2,933 ⁽⁴⁾	D	^
Common Stock (restricted)	966 ⁽⁵⁾	D	^
Common Stock (restricted)	1,427 ⁽⁶⁾	D	^
Common Stock (restricted)	3,339 ⁽⁷⁾	D	^
Common Stock (restricted)	3,843 ⁽⁸⁾	D	^
Stock Unit	8,142.8106 ⁽⁹⁾	D	^

SEC 1473 (7-02)

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

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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	04/01/2015 ⁽¹⁰⁾	04/01/2021	Common Stock	15,736	\$ 74.29	D	Â
Stock Option	04/01/2016 ⁽¹¹⁾	04/01/2022	Common Stock	21,386	\$ 102.26	D	Â
Stock Option	04/01/2017 ⁽¹²⁾	04/01/2023	Common Stock	27,395	\$ 104.82	D	Â
Stock Option	04/03/2018 ⁽¹³⁾	04/03/2024	Common Stock	32,911	\$ 78.05	D	Â
Stock Option	04/01/2019 ⁽¹⁴⁾	04/01/2025	Common Stock	22,541	\$ 62.21	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Lotvin Alan ONE CVS DRIVE WOONSOCKET, RI 02895	Â	Â	Â EVP, Transformation	Â

Signatures

/s/ Alan M.
Lotvin

06/08/2018

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) Consists of shares held in UTMA Trusts for the benefit of the reporting person's children. The reporting person disclaims beneficial ownership of these shares.

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- (2) Consists of remaining Restricted Stock Units awarded pursuant to Issuer's Performance-Based Restricted Stock Unit Plan, under its 2010 Incentive Compensation Plan. Restrictions lapse 2/28/2019.
- (3) Consists of Restricted Stock Units awarded pursuant to Issuer's 2017 Incentive Compensation Plan. Restrictions lapse 4/1/2022.
- (4) Consists of Restricted Stock Units awarded pursuant to Issuer's 2010 Incentive Compensation Plan. Restrictions lapse 4/1/2019.
- (5) Consists of remaining Restricted Stock Units awarded pursuant to Issuer's Performance-Based Restricted Stock Unit Plan, under its 2010 Incentive Compensation Plan. Restrictions lapse in two equal installments on 2/28/2019 and 2/28/2020.
- (6) Consists of remaining Restricted Stock Units awarded pursuant to Issuer's Performance-Based Restricted Stock Unit Plan, under its 2017 Incentive Compensation Plan. Restrictions lapse in three equal installments, commencing 2/28/2019.
- (7) Consists of Restricted Stock Units awarded pursuant to Issuer's 2010 Incentive Compensation Plan. Restrictions lapse 4/1/2020.
- (8) Consists of Restricted Stock Units awarded pursuant to Issuer's 2010 Incentive Compensation Plan. Restrictions lapse 4/3/2021.
- (9) Consists of Stock Units awarded pursuant to Issuer's 2010 and 2017 Incentive Compensation Plans, the receipt of which the reporting person has elected to defer.
- (10) Remaining options became exercisable in four equal annual installments beginning on 4/1/2015.
- (11) Option became exercisable in four equal annual installments beginning on 4/1/2016.
- (12) Option became exercisable in four equal annual installments beginning on 4/1/2017.
- (13) Option became exercisable in four equal annual installments beginning on 4/3/2018.
- (14) Option becomes 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.

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