

Flum Joshua Matthew  
Form 3  
November 30, 2018

# FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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## 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 \*

Flum Joshua Matthew

(Last) (First) (Middle)

704 EXECUTIVE  
BOULEVARD

(Street)

VALLEY  
COTTAGE, NY 10989

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

11/28/2018

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)

(Check all applicable)

\_\_\_\_ Director \_\_\_\_ 10% Owner

☒ Officer \_\_\_\_ Other

(give title below) (specify below)

EVP, Corp Strategy & Bus Dev

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting Person

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

### 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	14,690	D	^
Common Stock (pep)	2,616.0772	D	^
Common Stock (restricted)	1,385	D	^
Common Stock (restricted)	814	D	^
Common Stock (restricted)	378	D	^
Common Stock (restricted)	2,444	D	^
Common Stock (restricted)	2,146	D	^
Common Stock (restricted)	6,027	D	^
Common Stock (restricted)	3,523	D	^

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

SEC 1473 (7-02)

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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	04/01/2014 <sup>(1)</sup>	04/01/2020	Common Stock	17,703	\$ 54.53	D	Â
Stock Option	04/01/2014 <sup>(2)</sup>	04/01/2021	Common Stock	21,460	\$ 34.96	D	Â
Stock Option	04/01/2015 <sup>(3)</sup>	04/01/2021	Common Stock	25,177	\$ 74.29	D	Â
Stock Option	04/01/2016 <sup>(4)</sup>	04/01/2022	Common Stock	17,822	\$ 102.26	D	Â
Stock Option	04/01/2017 <sup>(5)</sup>	04/01/2023	Common Stock	17,611	\$ 104.82	D	Â
Stock Option	02/27/2018 <sup>(6)</sup>	02/27/2025	Common Stock	24,060	\$ 103.87	D	Â
Stock Option	04/03/2018 <sup>(7)</sup>	04/03/2024	Common Stock	30,169	\$ 78.05	D	Â
Stock Option	04/01/2019 <sup>(8)</sup>	04/01/2025	Common Stock	22,541	\$ 62.21	D	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships				Other
	Director	10% Owner	Officer		
Flum Joshua Matthew 704 EXECUTIVE BOULEVARD VALLEY COTTAGE,Â NYÂ 10989	Â	Â	Â	EVP, Corp Strategy & Bus Dev	Â

## Signatures

/s/ Joshua M.  
Flum

11/30/2018

\*\*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) Options became exercisable in four equal annual installments beginning on 4/1/2014.
- (2) Options became exercisable in three equal annual installments beginning on 4/1/2014.
- (3) Options became exercisable in four equal annual installments beginning on 4/1/2015.
- (4) Options became exercisable in four equal annual installments beginning on 4/1/2016.
- (5) Options became exercisable in four equal annual installments beginning on 4/1/2017.
- (6) Options became exercisable in three equal annual installments beginning on 2/27/2018.
- (7) Options became exercisable in four equal annual installments beginning on 4/3/2018.
- (8) Options become 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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