

CVS CAREMARK CORP
Form 4
January 03, 2014

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Roberts Jonathan C

(Last) (First) (Middle)

ONE CVS DRIVE

(Street)

WOONSOCKET, RI 02895-

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
CVS CAREMARK CORP [CVS]

3. Date of Earliest Transaction
(Month/Day/Year)
01/02/2014

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)

EVP & President, Caremark

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 Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	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 Ownership (Instr. 4)
			Code	V Amount (A) or (D) Price			
Common Stock	09/05/2013		G	V 850 D \$ 58.46	29,228.6731	D	
Common Stock	01/02/2014		M	60,484 A \$ 34.42	89,785.6731	D	
Common Stock	01/02/2014		S ⁽¹⁾	60,484 D \$ 70.61 (2)	29,301.6731	D	
Common Stock	01/02/2014		M	101,708 A \$ 28.1	131,009.6731	D	
Common Stock	01/02/2014		S ⁽¹⁾	101,708 D \$ 70.61	29,301.6731	D	

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(3)

Common Stock (pep)	11,095.1197	D	
Common Stock (restricted)	65,333	D	
ESOP Common Stock	5,097.1602	I	By ESOP
Stock Unit	40,563.4043	D	

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

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(9-02)

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 Security (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount
Stock Option	\$ 34.42	01/02/2014		M	60,484	04/02/2008 ⁽⁴⁾ 04/02/2014	Common Stock 6
Stock Option	\$ 28.1	01/02/2014		M	101,708	04/01/2010 ⁽⁵⁾ 04/01/2016	Common Stock 10
Phantom Stock Credits	\$ 1					⁽⁶⁾ ⁽⁶⁾	Common Stock 1,4
Stock Option	\$ 41.17					04/01/2009 ⁽⁷⁾ 04/01/2015	Common Stock 8
Stock Option	\$ 36.23					04/01/2011 ⁽⁸⁾ 04/01/2017	Common Stock 6
Stock Option	\$ 34.96					04/01/2012 ⁽⁹⁾ 04/01/2018	Common Stock 8
Stock Option	\$ 45.07					04/02/2013 ⁽¹⁰⁾ 04/02/2019	Common Stock 7
	\$ 54.53					04/01/2014 ⁽¹¹⁾ 04/01/2020	Common Stock 6

Stock
Option

Common
Stock

Stock
Option \$ 45.93

09/04/2015⁽¹²⁾ 09/04/2022

Common
Stock 10

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Roberts Jonathan C ONE CVS DRIVE WOONSOCKET, RI 02895-			EVP & President, Caremark	

Signatures

Jonathan C. Roberts 01/02/2014

 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) All sales were effected pursuant to a Rule 10b5-1 plan.
- (2) Represents weighted average sale price for this trading day. Multiple sales were executed, with sales prices ranging between \$70.19 and \$70.97 per share.
- (3) Represents weighted average sale price for this trading day. Multiple sales were executed, with sales prices ranging between \$70.19 and \$70.97 per share.
- (4) Option became exercisable in three annual installments, commencing 4/2/2008.
- (5) Option became exercisable in three annual installments, commencing 4/1/2010.
- (6) Reflects year-end company-match share credits under a non-qualified deferred compensation plan; share credits are payable in cash only, at such time as has been elected by the reporting person.
- (7) Option became exercisable in three annual installments, commencing 4/1/2009.
- (8) Option became exercisable in three annual installments, commencing 4/1/2011.
- (9) Option became exercisable in four equal annual installments, commencing 4/1/2012.
- (10) Option became exercisable in four equal annual installments, commencing 4/2/2013.
- (11) Option becomes exercisable in four equal annual installments, commencing 4/1/2014.
- (12) Option becomes exercisable in three equal annual installments, commencing 9/4/2015.

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.