Edgar Filing: Express Scripts Holding Co. - Form 4

| Express Scri Form 4 March 11, 20 | pts Holding Co. 016 | | | | | | | | | | |
|--|--|---|---|--|--|--|--------------------------|---|--|--|--|
| FORN Check th if no long | is box | Washington, D.C. 20549 | | | | | | | OMB Number: Expires: | PROVAL 3235-0287 January 31, 2005 | |
| subject to Section 1 Form 4 o Form 5 obligatio may cont <i>See</i> Instru 1(b). | 6. or Filed pure ns section 17(a | STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Estimated average burden hours per response 0.5 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 20(b) of the Immethered Company Act of 1940 | | | | | | | | | |
| (Print or Type Responses) | | | | | | | | | | | |
| | | | 2. Issuer Name and Ticker or Trading Symbol Express Scripts Holding Co. [ESRX] | | | | | 5. Relationship of Reporting Person(s) to Issuer | | | |
| (Last) (First) (Middle) C/O EXPRESS SCRIPTS HOLDING COMPANY, ONE EXPRESS WAY | | | 3. Date of Earliest Transaction (Month/Day/Year) 03/09/2016 | | | |] | (Check all applicable) <u></u> Director <u></u> 10% Owner <u></u> Officer (give title <u></u> Other (specify below) Sr. VP & Chief Med. Officer | | | |
| ST. LOUIS, | (Street) , MO 63121 | Filed(Month/Day/Year) | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person | | | | | |
| (City) | (State) | (Zip) | Table | e I - Non-D | erivative | Secur | ities Acq | uired, Disposed of | , or Beneficial | ly Owned | |
| 1.Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | | Date, if | 3. Transactic Code (Instr. 8) | 4. Securi on(A) or Di (Instr. 3, | spose | d of (D) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | | |
| Common Stock | 03/09/2016 | | | Code V A | Amount 7,952 | (D) A | Price \$ 0 <u>(1)</u> | (Instr. 3 and 4) 31,443 | D | | |
| Common Stock | 03/09/2016 | | | F | 3,813 (2) | D | \$ 69.57 | 27,630 | D | | |
| Common Stock | 03/09/2016 | | | А | 7,187 | A | \$ 0 <u>(3)</u> | 34,817 | D | | |

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

Persons who respond to the collection of
information contained in this form are not
required to respond unless the formSEC 1474
(9-02)

Edgar Filing: Express Scripts Holding Co. - Form 4

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)

| 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 6. Date Exercisable and tiorDerivative Expiration Date Securities (Month/Day/Year)) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | Date | 7. Title and Amou Underlying Securi (Instr. 3 and 4) | |
|---|---|---|---|--|---|---------------------|--------------------|---|--------------------------|
| | | | | Code V | (A) (D | Date Exercisable | Expiration Date | Title | Amo or Nun of S |
| Non-Qualified Stock Option (Right-to-Buy) | \$ 69.57 | 03/09/2016 | | А | 36,551 | <u>(4)</u> | 03/09/2026 | Express Scripts Holding Company Common Stock | 36, |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | | | |
|--|---------------|-----------|-----------------------------|-------|--|--|
| | Director | 10% Owner | Officer | Other | | |
| Miller Steven B C/O EXPRESS SCRIPTS HOLDING COMPANY ONE EXPRESS WAY ST. LOUIS, MO 63121 | | | Sr. VP & Chief Med. Officer | | | |
| Signatures | | | | | | |
| /s/ Martin P. Akins, as Attorney-in-Fact for Steven E | 3. | | | | | |
| Miller | | 03/11/20 | 016 | | | |
| <u>**</u> 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) Vesting of performance shares granted under Express Scripts, Inc. 2011 Long-Term Incentive Plan.
- (2) Represents shares tendered to Company to cover Reporting Person's tax liability due upon vesting of performance shares.
- (3) Grant of restricted stock units pursuant to Express Scripts, Inc. 2011 Long-Term Incentive Plan. Awards vest in three equal installments on February 28, 2017, February 28, 2018, and February 28, 2019.
- (4) Grant of stock option pursuant to Express Scripts, Inc. 2011 Long-Term Incentive Plan. Vests in three equal installments on February 28, 2017, February 28, 2018, and February 28, 2019.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Edgar Filing: Express Scripts Holding Co. - Form 4

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.