Seiz Brian Form 3 March 02, 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 \*

Seiz Brian

(Last)

(First)

(Middle)

Statement

02/23/2018

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Express Scripts Holding Co. [ESRX]

C/O EXPRESS SCRIPTS HOLDING COMPANY, ONE

**EXPRESS WAY** 

1. Title of Security

(Instr. 4)

(Street)

(Month/Day/Year)

Person(s) to Issuer

4. Relationship of Reporting

5. If Amendment, Date Original

Filed(Month/Day/Year)

10% Owner Director \_X\_\_ Officer Other

(Check all applicable)

(give title below) (specify below) Senior VP, Specialty

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ Form filed by One Reporting

Person

Form filed by More than One

Reporting Person

ST. LOUIS, MOÂ 63121

(City) (State) (Zip)

Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities 3.

Beneficially Owned

(Instr. 4)

Ownership

4. Nature of Indirect Beneficial Ownership

(Instr. 5)

Form: Direct (D)

or Indirect (I) (Instr. 5)

Common Stock 25,990.1

Â 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

5. Ownership Form of

6. Nature of Indirect Beneficial

Ownership

Price of Derivative (Instr. 5)

Derivative Security:

### Edgar Filing: Seiz Brian - Form 3

	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Non-Qualified Stock Option (Right-to-Buy)	(1)	11/21/2026	Express Scripts Holding Company Common Stock	19,165	\$ 76.1	D	Â
Non-Qualified Stock Option (Right-to-Buy)	(2)	03/09/2026	Express Scripts Holding Company Common Stock	8,160	\$ 69.57	D	Â
Non-Qualified Stock Option (Right-to-Buy)	(3)	03/04/2025	Express Scripts Holding Company Common Stock	5,529	\$ 84.83	D	Â
Non-Qualified Stock Option (Right-to-Buy)	(4)	03/05/2021	Express Scripts Holding Company Common Stock	6,919	\$ 77.15	D	Â
Non-Qualified Stock Option (Right-to-Buy)	(5)	03/06/2020	Express Scripts Holding Company Common Stock	5,835	\$ 58.17	D	Â
Non-Qualified Stock Option (Right-to-Buy)	(6)	05/15/2019	Express Scripts Holding Company Common Stock	4,639	\$ 53.54	D	Â
Non-Qualified Stock Option (Right-to-Buy)	(7)	02/27/2019	Express Scripts Holding Company Common Stock	5,888	\$ 53.05	D	Â

## **Reporting Owners**

Reporting Owner Name / Address	Relationships				
reporting 6 with Lumb, Figuress	Director	10% Owner	Officer	Other	
Seiz Brian C/O EXPRESS SCRIPTS HOLDING COMPANY ONE EXPRESS WAY ST. LOUIS, MO 63121	Â	Â	Senior VP, Specialty	Â	
Signatures					
/s/ Nick H. Varsam, as Attorney-in-Fact for Brian J. Seiz	03/02/2018				

## **Explanation of Responses:**

\*\*Signature of Reporting Person

- \* 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).

Date

- (1) Grant of stock options pursuant to the Express Scripts Holding Company 2016 Long-Term Incentive Plan. Vests in three (3) equal installments on November 21, 2017, November 21, 2018, and November 21, 2019.
- (2) Grant of stock options pursuant to the Express Scripts, Inc. 2011 Long-Term Incentive Plan. Vests in three (3) equal installments on February 28, 2017, February 28, 2018, and February 28, 2019.
- (3) Grant of stock options pursuant to the Grant of stock options pursuant to the Express Scripts, Inc. 2011 Long-Term Incentive Plan. Vests in three (3) equal installments on February 28, 2016, February 28, 2017, and February 28, 2018.
- (4) Grant of stock options pursuant to the Express Scripts, Inc. 2011 Long-Term Incentive Plan. Vested in three (3) equal installments on February 28, 2015, February 28, 2016, and February 28, 2017.
- (5) Grant of stock options pursuant to the Express Scripts, Inc. 2011 Long-Term Incentive Plan. Vested in three (3) equal installments on February 28, 2014, February 28, 2015, and February 28, 2016.
- (6) Grant of stock options pursuant to the Express Scripts, Inc. 2011 Long-Term Incentive Plan. Vested in three (3) equal installments on May 15, 2013, May 15, 2014, and May 15, 2015.
- Grant of stock options pursuant to the Express Scripts, Inc. 2011 Long-Term Incentive Plan. Vested in three (3) equal installments on February 28, 2013, February 28, 2014, and February 28, 2015.

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#### Remarks:

### EXHIBIT LIST - Exhibit 24 - Power of Attorney for Brian J. Seiz

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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