Express Scripts Holding Co.

Form 3

February 10, 2014

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

**OMB** 

**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 \*

Miller Steven B

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

02/01/2014

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

C/O EXPRESS SCRIPTS

HOLDING COMPANY, ONE

**EXPRESS WAY** 

(Street)

Express Scripts Holding Co. [ESRX]

4. Relationship of Reporting

Person(s) to Issuer

Filed(Month/Day/Year)

(Check all applicable)

Director \_X\_\_ Officer 10% Owner

Other (give title below) (specify below) Sr. VP & Chief Med. Officer

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

5. If Amendment, Date Original

Person

4. Nature of Indirect Beneficial

Form filed by More than One Reporting Person

ST. LOUIS. MOÂ 63121

(City) (State) (Zip)

(Instr. 4)

2. Amount of Securities

Beneficially Owned (Instr. 4)

3. Ownership

(I)

Table I - Non-Derivative Securities Beneficially Owned

Ownership (Instr. 5)

Form: Direct (D) or Indirect

(Instr. 5)

Â

Common Stock

1. Title of Security

27,501

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

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Derivative

Security:

## Edgar Filing: Express Scripts Holding Co. - 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)	03/06/2020	Express Scripts Holding Company Common Stock	17,507	\$ 58.17	D	Â
Non-Qualified Stock Option (Right-to-Buy)	(2)	02/27/2019	Express Scripts Holding Company Common Stock	2,325	\$ 53.05	D	Â
Non-Qualified Stock Option (Right-to-Buy)	(3)	02/27/2019	Express Scripts Holding Company Common Stock	26,169	\$ 53.05	D	Â
Non-Qualified Stock Option (Right-to-Buy)	(4)	03/02/2018	Express Scripts Holding Company Common Stock	20,348	\$ 56.5	D	Â
Non-Qualified Stock Option (Right-to-Buy)	(5)	03/03/2017	Express Scripts Holding Company Common Stock	21,798	\$ 49.495	D	Â
Phantom Stock Unit (6)	(6)	(6)	Express Scripts Holding Company Common Stock	1,054.8839	\$ <u>(6)</u>	D	Â

# **Reporting Owners**

Reporting Owner Name / Address		Relationships					
• 0	Director	10% Owner	Officer	Other			
Miller Steven B	Â	Â	Sr. VP & Chief Med. Officer	Â			
C/O EXPRESS SCRIPTS HOLDING COMPANY							

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ONE EXPRESS WAY ST. LOUIS, MOÂ 63121

## **Signatures**

/s/ Steven B. Miller

02/07/2014

\*\*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).
- Grant of stock options pursuant to the Express Scripts, Inc. 2011 Long-Term Incentive Plan. Vests in three (3) equal installments on February 28, 2014, February 28, 2015, and February 28, 2016.
- (2) Grant of stock options pursuant to the Express Scripts, Inc. 2011 Long-Term Incentive Plan. Vests on February 28, 2014.
- Grant of stock options pursuant to the Express Scripts, Inc. 2011 Long-Term Incentive Plan. Vests in three (3) equal installments on February 28, 2013, February 28, 2014, and February 28, 2015.
- Grant of stock options pursuant to the Express Scripts, Inc. 2000 Long-Term Incentive Plan. Vests in three (3) equal installments on February 28, 2012, February 28, 2013, and February 28, 2014.
- Grant of stock options pursuant to the Express Scripts, Inc. 2000 Long-Term Incentive Plan. All shares vested on February 28, 2013.
- Phantom Stock Units credited under the Company's Executive Deferred Compensation Plan. All company credits to the participant's account vest in three (3) years after the plan year to which a particular credit relates. Upon distribution each Phantom Stock Unit converts to one share of the Company's Common Stock.

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#### **Remarks:**

Ex. 24 - Power of Attorney attached.

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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