### Edgar Filing: AMERICAN STATES WATER CO - Form 4

#### AMERICAN STATES WATER CO

Form 4

November 21, 2013

# FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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if no longer subject to Section 16. Form 4 or Form 5

Form 5 Filed pure obligations may continue. See Instruction

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

1(b).

Shares

(Print or Type Responses)

1. Name and Address of Reporting Person * Rentfrow Diane D			2. Issuer Name and Ticker or Trading Symbol AMERICAN STATES WATER CO [AWR]	5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)			
(Last) 5550 VIA VA	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 11/19/2013	Director 10% OwnerX Officer (give title Other (specify below)			
	(Street)		4. If Amendment, Date Original Filed(Month/Day/Year)				
YORBA LINI	DA, CA 928	87		Form filed by More than One Reporting Person			

#### (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired (A) 5. Amount of 6. 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction Disposed of (D) Securities Ownership Indirect (Instr. 3) (Instr. 3, 4 and 5) Code Beneficially Form: Beneficial (Month/Day/Year) (Instr. 8) Owned Direct (D) Ownership Following or Indirect (Instr. 4) Reported (A) (Instr. 4) Transaction(s) (Instr. 3 and 4) Code V Amount (D) Price Common 20.3104 06/01/2013 A 5,284.1612 D **Shares** (1) 53.13 23.5608 Common 09/03/2013 \$ 52.6 5,307.722 D A (2) **Shares** Common 5,299.722 09/03/2013 10,607.444 D A **Shares** (3) Common S 4,440 (4) 11/19/2013 6,167.444 D

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

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SEC 1474 (9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative	2. Conversion	3. Transaction Date (Month/Day/Year)		4. Transacti	5. orNumber	6. Date Exerc Expiration Da		7. Title		8. Price of Derivative	9. Nu Deriv
Security (Instr. 3)	or Exercise Price of Derivative Security	(manazay, 16ar)	any (Month/Day/Year)	Code (Instr. 8)	of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	(Month/Day/		Underly Securit	ying	Security (Instr. 5)	Secur Bene Owne Follo Repo Trans (Instr
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title 1	Amount or Number of Shares		

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Rentfrow Diane D 5550 VIA VALLARTA YORBA LINDA, CA 92887

Vice President

## **Signatures**

/s/ Diane D. Rentfrow 11/21/2013

\*\*Signature of Date
Reporting Person

## **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) DER units credited on 6/1/2013 as dividend at FMV
- (2) DER units credited on 9/3/2013 as dividend at FMV
- (3) Additional shares due to stock split
- (4) Sale of RSU's

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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