AMERICAN STATES WATER CO

Form 4 May 21, 2014

FORM 4

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

OMB 3235-0287

OMB APPROVAL

Number: Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

Form 4 or Form 5 obligations may continue. See Instruction

Check this box

if no longer

subject to

Section 16.

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

1(b).

(City)

(State)

(Zin

(Print or Type Responses)

1. Name and Add Anderson Sara	•	ting Person *	2. Issuer Name and Ticker or Trading Symbol	5. Relationship of Reporting Person(s) to Issuer			
			AMERICAN STATES WATER CO [AWR]	(Check all applicable)			
(Last)	(First)	(Middle)	3. Date of Earliest Transaction	X Director 10% Owner Officer (give title Other (specify			
33 ANDIAMO			(Month/Day/Year) 05/20/2014	below) below) below)			
	(Street)		4. If Amendment, Date Original	6. Individual or Joint/Group Filing(Check			
			Filed(Month/Day/Year)	Applicable Line) _X_ Form filed by One Reporting Person			
NEWPORT C	COAST, CA	92657		Form filed by More than One Reporting Person			

(City)	(State)	(Zip) Tak	ole I - Non-	Derivative Secu	urities	Acquire	d, Disposed of, o	r Beneficially	Owned
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transactio Code (Instr. 8)	· / /			5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code V	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)	(I) (Instr. 4)	
Common Shares	08/15/2013		A	6.4808 (1)	A	\$ 58.51	2,828.5433	D	
Common Shares	09/03/2013		A	7.1988 (2)	A	\$ 51.69	2,835.7421	D	
Common Shares	09/03/2013		A	2,835.7421 (3)	A	\$ 0	5,671.4842	D	
Common Shares	11/15/2013		A	13.3737 (4)	A	\$ 28.55	5,684.8579	D	
Common Shares	11/15/2013		D	0.9573 (5)	D	\$ 0	5,683.9006	D	

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Common Shares	02/14/2014	A	13.6406 <u>(6)</u>	A	\$ 28.19	5,697.5412	D
Common Shares	05/16/2014	A	13.5748 (7)	A	\$ 28.53	5,711.116	D
Common Shares	05/20/2014	A	1,755.0018	A	\$ 28.49	7,466.1178	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 Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	4. Transac Code (Instr. 8	5. tionNumber of Derivativ Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	S	ate	Amou Under Secur	le and unt of rlying ities . 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secun Bene Owne Follo Repo Trans (Instr
			Code '	/ (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships						
reporting Owner Plante, Plantess	Director	10% Owner	Officer	Other			
Anderson Sarah J 33 ANDIAMO NEWPORT COAST, CA 92657	X						

Signatures

05/21/2014
03/21/201-
Date

Reporting Owners 2

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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 8/15/2013 as dividend at FMV
- (2) DER units credited on 9/3/2013 as dividend at FMV
- (3) Adjustment due to stock split on 9/3/2013
- (4) DER units credited on 11/15/2013 as dividend at FMV
- (5) Adjustment due to partial share payout
- (6) DER units credited on 2/17/2014 as dividend at FMV
- (7) DER units credited on 52/16/2014 as dividend at FMV

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.