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

#### AMERICAN STATES WATER CO

Form 4

February 02, 2015

### FORM 4

Check this box

if no longer

Section 16.

Form 4 or

obligations

Form 5

subject to

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**OMB** Number:

**OMB APPROVAL** 

3235-0287

Expires:

5. Relationship of Reporting Person(s) to

January 31, 2005

0.5

Estimated average burden hours per

response...

**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 may continue.

2. Issuer Name and Ticker or Trading

30(h) of the Investment Company Act of 1940

1(b).

**Shares** 

(Print or Type Responses)

Name and Address of Reporting Person \*

See Instruction

| SPROWLS ROBERT J                     |  |  | Symbol AMERICAN STATES WATER CO [AWR] |                            |   |         |   | Issuer (Check all applicable)  |                |          |  |
|--------------------------------------|--|--|---------------------------------------|----------------------------|---|---------|---|--|----------------|----------|--|
| (Last)<br>1713 N VA                  | (First)                                | 3. Date of Earliest Transaction (Month/Day/Year) 01/29/2015                      |                                       |                            |   |         | Director 10% OwnerX Officer (give title Other (specify below) President & CEO |  |                |          |  |
|                                      |  |  |                                       | endment, D<br>onth/Day/Yea | Date Original                               |         | -   | 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)  | Tab                                   | le I - Non-                | Derivative Se                               | curitio |   | ired, Disposed of,   | or Beneficiall | ly Owned |  |
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Dat<br>(Month/Day/Year) | ransaction Date 2A. Deemed nth/Day/Year) Execution Date, if any (Month/Day/Year) |                                       |                            | 4. Securities oner Disposed (Instr. 3, 4 an | of (D)  |   | Securities Ownership Indirect Beneficially Form: Beneficially Owned Direct (D) Owner Following or Indirect (Instr. Reported (I) Transaction(s) (Instr. 4) (Instr. 3 and 4) |                |          |  |
| Common<br>Shares                     | 01/29/2015                             |  |                                       | Code V<br>F                | 589.8146<br>(1)                             | D       | \$<br>40.4  | 74,434.3483  | D              |          |  |
| Common                               | 01/29/2015                             |  |                                       | F                          | 780.8458<br>(2)                             | D       | \$<br>40.4  | 73,653.5025  | D              |          |  |

(2)

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

40.4

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

| 1. Title of | 2.          | 3. Transaction Date | 3A. Deemed         | 4.         | 5.         | 6. Date Exerc | cisable and     | 7. Title           | e and    | 8. Price of | 9. Nu  |
|-------------|-------------|---------------------|--------------------|------------|------------|---------------|-----------------|--------------------|----------|-------------|--------|
| Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | Transacti  | orNumber   | Expiration D  | ate             | Amou               | nt of    | Derivative  | Deriv  |
| Security    | or Exercise |                     | any                | Code       | of         | (Month/Day/   | Year)           | Underl             | lying    | Security    | Secui  |
| (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8) | Derivativ  | e             |                 | Securit            | ties     | (Instr. 5)  | Bene   |
|             | Derivative  |                     |                    |            | Securities |               |                 | (Instr.            | 3 and 4) |             | Own    |
|             | Security    | urity Acquired      |                    |            |            |               |                 |                    |          |             | Follo  |
|             | ·           |                     |                    |            | (A) or     |               |                 |                    |          |             | Repo   |
|             |             |                     |                    |            | Disposed   |               |                 |                    |          |             | Trans  |
|             |             |                     |                    |            | of (D)     |               |                 |                    |          |             | (Instr |
|             |             |                     |                    |            | (Instr. 3, |               |                 |                    |          |             |        |
|             |             |                     |                    |            | 4, and 5)  |               |                 |                    |          |             |        |
|             |             |                     |                    |            |            |               |                 |                    | A        |             |        |
|             |             |                     |                    |            |            |               |                 |                    | Amount   |             |        |
|             |             |                     |                    |            |            | Date          | Expiration Date | or<br>Title Number |          |             |        |
|             |             |                     |                    |            |            | Exercisable   |                 |                    |          |             |        |
|             |             |                     |                    | C 1 W      | (A) (D)    |               |                 |                    | of       |             |        |
|             |             |                     |                    | Code V     | (A) (D)    |               |                 |                    | Shares   |             |        |

# **Reporting Owners**

Relationships Reporting Owner Name / Address

> Officer Other Director 10% Owner

SPROWLS ROBERT J 1713 N VALLEJO WAY UPLAND, CA 91784

President & CEO

## **Signatures**

Reporting Person

/s/ Robert J.

**Sprowls** 02/02/2015 \*\*Signature of 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).
- 1608 previously reported RSU's of which 589.8146 were withheld to satisfy tax withholding
- (2) 1807 previously reported RSU's of which 780.8458 were withheld to satisfy tax withholding

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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