SEC Form 4

FORM 4

(State)

(Zip)

UNITED STATES	SECURITIES AI	ND EXCHANGE	COMMISSION
	Weekington D	0.00540	

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OMB APPROVAL

OMB Number:	3235-0287							
Estimated average burden								
hours per response:	0.5							

Form filed by More than One Reporting

Person

to Section 16. Form 4 or Form 5 obligations may continue. See Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 Instruction 1(b). 5. Relationship of Reporting Person(s) to Issuer 2. Issuer Name and Ticker or Trading Symbol 1. Name and Address of Reporting Person (Check all applicable) AMERICAN STATES WATER CO [AWR TANG EVA G Director 10% Owner Officer (give title Other (specify Х below) below) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) Sr. Vice President & CFO 02/01/2021 630 E FOOTHILL BLVD. 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable (Street) Line) SAN DIMAS CA 91773 X Form filed by One Reporting Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150. 4)	
Common Shares	06/01/2020		A		6.4771 ⁽¹⁾	A	\$81.16	34,295.8813	D		
Common Shares	06/03/2020		A		15.4938(2)	A	\$0.00	34,311.3752	D		
Common Shares	09/01/2020		A		7.7069 ⁽³⁾	A	\$75.2	34,319.082	D		
Common Shares	09/03/2020		A		18.7299(2)	A	\$0.00	34,337.8119	D		
Common Shares	12/01/2020	ĺ	A		7.8202	A	\$74.44	34,345.6322	D		
Common Shares	12/03/2020		A		18.8349 ⁽²⁾	A	\$0.00	34,364.4671	D		
Common Shares	02/01/2021		D		1.3133(4)	D	\$0.00	34,363.1538	D		
Common Shares	02/01/2021		A		58 ⁽⁵⁾	A	\$0.00	9,053.4868	I	401k	
Common SHares	02/01/2021		A		1,039	A	\$0.00	35,402.1538	D		

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

	(0.3), pare, cano, opinio, controlano comunico,														
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code (8)		n of		6. Date Exerc Expiration Da (Month/Day/Y	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. DER Units credited on 06/01/2020 as dividend at FMV

2. Updated DRIP

3. DER Units credited on 09/01/2020 as dividend at FMV

4. Adjustment due to partial share

5. Updated 401k Information

Remarks:

/s/ Eva G. Tang

02/03/2021

** Signature of Reporting Person Date

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

 * 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

Check this box if no longer subject

(City)