SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to
Section 16. Form 4 or Form 5
obligations may continue. See
Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 OMB APPROVAL
OMB Number: 3235-0287
Estimated average burden
hours per response: 0.5

1. Name and Addres Rowley Paul	ss of Reporting Perso J	n*	2. Issuer Name and Ticker or Trading Symbol <u>AMERICAN STATES WATER CO</u> [AWR]	(Check	tionship of Reporting Perso all applicable) Director Officer (give title	on(s) to Issuer 10% Owner Other (specify	
(Last) (Elfst) (Middle) I		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 01/29/2019	Х	below) VP OF OPERAT	below)	
(Street) SAN DIMAS	СА	91773	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	idual or Joint/Group Filing (Form filed by One Report Form filed by More than C Person	ting Person	
(City)	(State)	(Zip)			r erson		

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)		(1130.4)
Common Shares	03/01/2018		A		8.0095 ⁽¹⁾	A	\$52.03	2,371.192	D	
Common Shares	06/01/2018		A		7.4302(2)	A	\$56.36	2,378.6222	D	
Common Shares	08/31/2018		A		7.5072 ⁽³⁾	A	\$60.43	2,386.1294	D	
Common Shares	12/03/2018		A		6.6999 ⁽⁴⁾	A	\$68.02	2,392.8293	D	
Common Shares	01/10/2019		D		1.9481 ⁽⁵⁾	D	\$0.00	2,390.8812	D	
Common Shares	01/10/2019		A		257.4724 ⁽⁶⁾	A	\$0.00	2,587.4071	D	
Common Shares	01/29/2019		A		652	A	\$0.00	3,042.8812	D	

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

			1							1				1		
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)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		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 03/01/2018 as dividend at FMV $\,$

2. DER Units credited on 06/01/2018 as dividend at FMV

3. DER Units credited on 08/31/2018 as dividend at FMV

4. DER unites credited on 12/03/2018 as dividend at FMV

5. Adjustment due to partial share

6. Updated 401k

Remarks:

<u>/s/ Paul J Rowley</u>

01/31/2019

Date

** Signature of Reporting Person

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.