Willis Gabriel G Form 4 January 31, 2019

# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

**OMB** 3235-0287

**OMB APPROVAL** 

Number: January 31, Expires:

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if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction

Check this box

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

(Print or Type Responses)

1(b).

| 1. Name and Address of Reportin Willis Gabriel G | g Person * | 2. Issuer Name <b>and</b> Ticker or Trading Symbol | 5. Relationship of Reporting Person(s) to Issuer  |  |  |  |
|--|------------|--|---|--|--|--|
|  |            | AMERICAN STATES WATER CO<br>[AWR]                  | (Check all applicable)  |  |  |  |
| (Last) (First)                                   | (Middle)   | 3. Date of Earliest Transaction (Month/Day/Year)   | Director 10% Owner Officer (give title Other (specify   |  |  |  |
| 630 E FOOTHILL BLVD.                             |            | 01/29/2019   | below) below)  VP of Strategic Business Dev.  |  |  |  |
| (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 Form filed by More than One Reporting |  |  |  |
| SAN DIMAS, CA 91773                              |            |  | Person  |  |  |  |
| (City) (State)                                   | (Zip)      | Table I - Non-Derivative Securities Acc            | quired, Disposed of, or Beneficially Owned  |  |  |  |

| (Cit)                                | (State)          | Tabl  | e I - Non-D   | erivative S       | Securi | ties Acqu  | iired, Disposed of           | , or Beneficiall                                      | y Owned |
|--------------------------------------|------------------|---|---|-------------------|--------|--|------------------------------|---|---------|
| 1.Title of<br>Security<br>(Instr. 3) | (Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)  (A) or |                   |        | 5. Amount of Securities Ownership Beneficially Form: Direct Owned (D) or Following Indirect (I) Reported (Instr. 4) Transaction(s) |                              | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |         |
| Commo                                | on 08/31/2018    |   | Code V<br>A   | Amount 0.3914 (1) | (D)    | Price \$ 60.43   | (Instr. 3 and 4)<br>683.0774 | D   |         |
| Commo<br>Shares                      | on 12/03/2018    |   | A   | 0.3493<br>(2)     | A      | \$<br>68.02  | 683.4267                     | D   |         |
| Commo                                | on 01/29/2019    |   | A   | 383               | A      | \$0  | 1,066.4267                   | D   |         |

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

#### Edgar Filing: Willis Gabriel G - Form 4

#### number.

# 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. Titl | e and        | 8. Price of | 9. Nu  |
|-------------|-------------|---------------------|--------------------|-------------|------------|---------------|-------------|---------|--------------|-------------|--------|
| Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | Transaction | orNumber   | Expiration D  | ate         | Amou    | nt of        | Derivative  | Deriv  |
| Security    | or Exercise |                     | any                | Code        | of         | (Month/Day/   | Year)       | Under   | lying        | Security    | Secui  |
| (Instr. 3)  | Price of    |                     | (Month/Day/Year)   | (Instr. 8)  | Derivative | e             |             | Securi  | ities        | (Instr. 5)  | Bene   |
|             | Derivative  |                     |                    |             | Securities |               |             | (Instr. | 3 and 4)     |             | Owne   |
|             | Security    |                     |                    |             | Acquired   |               |             |         |              |             | Follo  |
|             |             |                     |                    |             | (A) or     |               |             |         |              |             | Repo   |
|             |             |                     |                    |             | Disposed   |               |             |         |              |             | Trans  |
|             |             |                     |                    |             | of (D)     |               |             |         |              |             | (Instr |
|             |             |                     |                    |             | (Instr. 3, |               |             |         |              |             |        |
|             |             |                     |                    |             | 4, and 5)  |               |             |         |              |             |        |
|             |             |                     |                    |             |            |               |             |         | Amount       |             |        |
|             |             |                     |                    |             |            |               |             |         | Amount       |             |        |
|             |             |                     |                    |             |            | Date          | Expiration  | Title   | Or           |             |        |
|             |             |                     |                    |             |            | Exercisable   | Date        | ritie   | Number<br>of |             |        |
|             |             |                     |                    | Codo V      | (A) (D)    |               |             |         |              |             |        |
|             |             |                     |                    | Code V      | (A) (D)    |               |             |         | Shares       |             |        |

# **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Willis Gabriel G 630 E FOOTHILL BLVD. SAN DIMAS, CA 91773

VP of Strategic Business Dev.

## **Signatures**

/s/ Gabriel G. 01/31/2019 Willis

\*\*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 08/31/2018 as dividend at FMV
- (2) DER unites credited on 12/03/2018 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.

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