

Rowley Paul J  
Form 4  
February 01, 2018

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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 OF 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 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Rowley Paul J

2. Issuer Name and Ticker or Trading Symbol  
AMERICAN STATES WATER CO  
[AWR]

5. Relationship of Reporting Person(s) to Issuer  
  
(Check all applicable)

(Last) (First) (Middle)  
22532 CHAPARRO DR  
  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
01/30/2018

\_\_\_\_ Director  
 Officer (give title below) \_\_\_\_\_ 10% Owner  
\_\_\_\_\_ Other (specify below)  
VP OF OPERATIONS

SAUGUS, CA 91350

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

(City) (State) (Zip)

**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 Transaction(s) (Instr. 3 and 4) | 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   |
| Common Shares                   | 03/01/2017                           |  | A                              |   | 7.8931 <sup>(1)</sup>   | A  | \$ 44.89  |
| Common Shares                   | 06/01/2017                           |  | A                              |   | 7.6199 <sup>(2)</sup>   | A  | \$ 46.75  |
| Common Shares                   | 09/01/2017                           |  | A                              |   | 7.7033 <sup>(3)</sup>   | A  | \$ 48.98  |
| Common Shares                   | 12/01/2017                           |  | A                              |   | 6.6399 <sup>(4)</sup>   | A  | \$ 57.12  |
| Common Shares                   | 01/02/2018                           |  | D                              |   | 0.5444 <sup>(5)</sup>   | D  | \$ 0  |

Edgar Filing: Rowley Paul J - Form 4

|               |            |   |                 |   |      |            |   |      |
|---------------|------------|---|-----------------|---|------|------------|---|------|
| Common Shares | 01/02/2018 | A | 251,2247<br>(6) | A | \$ 0 | 2,329.9347 | I | 401k |
| Common Shares | 01/30/2018 | A | 766             | A | \$ 0 | 2,618.992  | D |      |

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

**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 control number.** 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) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Owned Following Reporting Transaction (Instr. 5) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|

## Reporting Owners

| Reporting Owner Name / Address                         | Relationships |           |                  |       |
|--|---------------|-----------|------------------|-------|
|  | Director      | 10% Owner | Officer          | Other |
| Rowley Paul J<br>22532 CHAPARRO DR<br>SAUGUS, CA 91350 |               |           | VP OF OPERATIONS |       |

## Signatures

/s/ Paul J  
Rowley  
02/01/2018  
Date  
\*\*Signature of 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 03/01/2017 as dividend at FMV

## Edgar Filing: Rowley Paul J - Form 4

- (2) DER Units Credited on 06/01/2017 as dividend at FMV
- (3) DER Units Credited on 09/01/2017 as dividend at FMV
- (4) DER Units Credited on 12/01/2017 as dividend at FMV
- (5) Adjustment due to partial share
- (6) Updated 401k Information

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.