SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL	
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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

1. Name and Address of Reporting Person* Kubiak Patrick (Last) (First) (Middle) 630 E FOOTHILL BLVD, (Street) SAN DIMAS CA 91773 (City) (State) (Zip)	2. Issuer Name **and** Ticker or Trading Symbol AMERICAN STATES WATER CO [AWR] 3. Date of Earliest Transaction (Month/Day/Year) 02/04/2022 4. If Amendment, Date of Original Filed (Month/Day/Year)	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director / 10% Owner X Officer (give title below) / Other (specify below) VP of Asset Management 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than 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 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	06/02/2021		A		0.1691(1)	A	$78.85	1,131.1152	D	
Common Shares	09/01/2021		A		0.1555(2)	A	$93.85	1,131.2707	D	
Common Shares	12/01/2021		A		1.5244(3)	A	$94.1	1,132.7951	D	
Common Shares	02/04/2022		D		0.0323(4)	D	$0.00	1,132.7628	D	
Common Shares	02/04/2022		F		13.7506(5)	D	$89.69	1,119.0122	D	
Common Shares	02/04/2022		F		12.4411(6)	D	$89.69	1,106.5711	D	
Common Shares	02/04/2022		F		16.512(7)	D	$89.69	1,090.0591	D	

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 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 06/02/2021 as dividend at FMV
2. DER Units credited on 09/01/2020 as dividend at FMV
3. DER units credited on 12/01/2021 as dividend at FMV
4. Adjustment due to partial share
5. 13.7506 shares withheld to satisfy tax liability.
6. 12.4411 shares withheld to satisfy tax liability.
7. 16.5120 shares withheld to satisfy tax liability.

Remarks:

/s/ Patrick Kubiak — 02/11/2022

** 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.

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