SEC Form 4

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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

OMB APPROVAL

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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). 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer 1. Name and Address of Reporting Person* (Check all applicable) AMERICAN STATES WATER CO [AWR HOLLOWAY ANNE M X Director 10% Owner Officer (give title Other (specify (Middle) below) below) (Last) (First) 3. Date of Earliest Transaction (Month/Day/Year) 08/13/2021 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 91773 X Form filed by One Reporting Person CA Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 2. Transaction Date 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5. Amount of 6. Ownership Form: Direct 1. Title of Security (Instr. 3) 2A. Deemed 7. Nature Execution Date, of Indirect Transaction Securities (Month/Day/Year) if anv Code (Instr. 5) Beneficially (D) or Indirect Beneficial Owned Following Ownership (Instr. 4) (Month/Day/Year) 8) (l) (Instr. 4) Reported (A) or (D) Transaction(s) Code v Amount Price (Instr. 3 and 4) **Common Shares** 08/13/2021 s 600 D \$88.72 37,712.9366 D Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of 2. Conversion 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and 8. Price of 9. Number of 10. 11. Nature Execution Date. Transaction Ownership Derivative Date Expiration Date Amount of Derivative derivative of Indirect of Security or Exercise (Month/Dav/Year) if any Code (Instr. Derivative (Month/Day/Year) Securities Security Securities Form: Beneficial

	(Instr. 3)	Price of Derivative Security	(Month/E	(Month/Day/Year)	8)		Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)				Underlying Derivative Security (Instr. 3 and 4)		(Instr. 5)	Beneficially Owned Following Reported Transaction(s) (Instr. 4)	Direct (D) or Indirect (I) (Instr. 4)	Ownership (Instr. 4)	
			Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares							

Explanation of Responses:

Remarks:

<u>/s/ Anne M Holloway</u>

** Signature of Reporting Person Date

08/13/2021

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.