SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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OMB Number:	3235-0287							
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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

1. Name and Address of Reporting Person [*] BONTA DIANA M			2. Issuer Name and Ticker or Trading Symbol AMERICAN STATES WATER CO [AWR	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)				
			1		Director	10% Owner		
			1		Officer (give title	Other (specify		
(Last)	(First)	(Middle)	3. Date of Earliest Transaction (Month/Day/Year)		below)	below)		
630 E FOOTHILL BLVD.			05/18/2021					
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)				
SAN DIMAS	CA	91773		X	Form filed by One Rep	orting Person		
,					Form filed by More tha	n One Reporting		
(City)	(State)	(Zip)			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.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)		(111501.4)	
Common Shares	08/17/2020		A		13.0596(1)	A	\$78.67	15,154.1099	D		
Common Shares	11/16/2020		A		13.0389(2)	A	\$79.13	15,167.1488	D		
Common Shares	01/06/2021		D		0.4585 ⁽³⁾	D	\$0.00	15,166.6903	D		
Common Shares	02/16/2021		A		13.2009(4)	A	\$78.49	15,179.8912	D		
Common Shares	05/17/2021		A		13.4301(5)	A	\$77.48	15,193.3213	D		
Common Shares	05/18/2021		A		516.2623	A	\$77.48	15,709.5836	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	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code (8)		of		6. Date Exerc Expiration Da (Month/Day/Y	7. Title and Amount of Securities Underlying Derivative		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially	10. Ownership Form: Direct (D)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
	Security					(A) or Disposed of (D) (Instr. 3, 4 and 5)				Security (Instr. 3 and 4)			Owned Following Reported Transaction(s) (Instr. 4)	or Indirect (I) (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. DER Units credited on 08/17/2020 as dividend at FMV

2. DER units credited on 11/16/2020 as dividend at FMV

3. Adjustment due to partial share

4. DER Units credited on 02/16/2021 as dividend at FMV

5. DER Units credited on 05/17/2021 as dividend at FMV

Remarks:

/s/ Diana M. Bonta

** Signature of Reporting Person Date

05/19/2021

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.