SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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[*]	2. Issuer Name **and** Ticker or Trading Symbol	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)
ANDERSON JAMES L	AMERICAN STATES WATER CO [AWR]	X Director / 10% Owner / Officer (give title below) / Other (specify below)
(Last) (First) (Middle)	3. Date of Earliest Transaction (Month/Day/Year) 05/23/2017	
4375 VIA SERENA		
(Street)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)
BONSALL CA 92003		X 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	06/01/2016		A		7.7717[1]	A	$39.83	34,080.431	D	
Common Shares	08/15/2016		A		92.555[2]	A	$41.37	34,172.986	D	
Common Shares	09/01/2016		A		8.0126[3]	A	$38.85	34,180.9986	D	
Common Shares	11/15/2016		A		100.3398[4]	A	$41.45	34,281.3384	D	
Common Shares	12/31/2016		A		819[5]	A	$0.00	35,100.3384	D	
Common Shares	02/15/2017		A		95.2715[6]	A	$43.91	35,195.6099	D	
Common Shares	05/15/2017		A		94.3355[7]	A	$44.59	35,289.9454	D	
Common Shares	05/23/2017		A		1,667.0371	A	$44.99	36,956.9825	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 6/1/2016 as dividend at FMV
2. DER units credited on 8/15/2016 as dividend at FMV
3. DER units credited on 9/1/2016 as dividend at FMV
4. DER units credited on 11/15/2016 as dividend at FMV
5. Updated DRIP in Schwab account
6. DER units credited on 2/15/2017 as dividend at FMV
7. DER units credited on 5/15/2017 as dividend at FMV

Remarks:

/s/ James L. Anderson	05/24/2017
** Signature of Reporting Person	Date