

AMERICAN STATES WATER CO  
 Form 4  
 February 09, 2017

**FORM 4**

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

OMB APPROVAL

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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 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 \*  
**GALLAGHER JAMES B**

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)

15786 PISTACHIO STREET

(Street)

CHINO HILLS, CA 91709

(City) (State) (Zip)

3. Date of Earliest Transaction (Month/Day/Year)  
 01/31/2017

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

\_\_\_\_ Director  
 Officer (give title below)  
 \_\_\_\_ 10% Owner  
 \_\_\_\_ Other (specify below)  
 Vice President

6. Individual or Joint/Group Filing (Check Applicable Line)  
 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 or Price   |  |   |
| Common Shares                   | 06/01/2016                           |  | A                              |   | 10.1433<br>(1)<br>\$ 39.83  | A  | 22,023.6927 D   |
| Common Shares                   | 09/01/2016                           |  | A                              |   | 10.4577<br>(2)<br>\$ 38.85  | A  | 22,034.1504 D   |
| Common Shares                   | 12/01/2016                           |  | A                              |   | 10.3411<br>(3)<br>\$ 42.69  | A  | 22,044.4915 D   |
| Common Shares                   | 12/01/2016                           |  | A                              |   | 346.9359<br>(4)<br>\$ 0   | A  | 22,391.4274 D   |
| Common Shares                   | 12/30/2016                           |  | A                              |   | 264.94<br>(5)<br>\$ 0   | A  | 6,388.93 I 401k                                       |

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|               |            |   |                         |   |          |             |   |
|---------------|------------|---|-------------------------|---|----------|-------------|---|
| Common Shares | 12/30/2016 | D | 1.5894 <sup>(6)</sup>   | D | \$ 0     | 22,389.838  | D |
| Common Shares | 01/31/2017 | A | 679                     | A | \$ 0     | 23,068.838  | D |
| Common Shares | 02/03/2017 | F | 195.7143 <sup>(7)</sup> | D | \$ 44.24 | 22,873.1237 | D |
| Common Shares | 02/03/2017 | F | 138.6698 <sup>(8)</sup> | D | \$ 44.24 | 22,734.4539 | D |
| Common Shares | 02/03/2017 | F | 107.5522 <sup>(9)</sup> | D | \$ 44.24 | 22,626.9017 | 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.**

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(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 Beneficially (Instr. 5) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                                      | Amount or Number of Shares                                       |

## Reporting Owners

| Reporting Owner Name / Address                                       | Relationships |           |                |       |
|--|---------------|-----------|----------------|-------|
|  | Director      | 10% Owner | Officer        | Other |
| GALLAGHER JAMES B<br>15786 PISTACHIO STREET<br>CHINO HILLS, CA 91709 |               |           | Vice President |       |

## Signatures

/s/ James B. Gallagher                      02/09/2017

\_\_Signature of  
Reporting Person

Date

## 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 6/1/2016 as dividend at FMV
- (2) DER units credited on 9/1/2016 as dividend at FMV
- (3) DER units credited on 12/1/2016 as dividend at FMV
- (4) Updated DRIP
- (5) Updated 401K
- (6) Adjustment due to partial share
- (7) 447.0403 previously reported RSU's of which 195.7143 were withheld to satisfy tax liability
- (8) 316.7420 previously reported RSU's of which 138.6698 were withheld to satisfy tax liability
- (9) 245.6653 previously reported RSU's of which 107.5522 were withheld to satisfy tax liability

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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