SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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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 Addr Smegal Th | | 2. Issuer Name and Ticker or Trading Symbol <u>CALIFORNIA WATER SERVICE GROUP</u> [CWT] | | | | | | | (Check | 5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner Officer (give title Other (specify | | | | | | | |
|--|--|---|-------|--|--|--|---|---|--|--|--------------------|---|---|---|--|---|--|
| (Last) (First) (Middle) CALIFORNIA WATER SERVICE COMPANY | | | | 3. | 3. Date of Earliest Transaction (Month/Day/Year) 07/03/2016 | | | | | | | - × | VP, CFO & Treasurer | | | | |
| 1720 NORTH FIRST STREET | | | | | 4. If Amendment, Date of Original Filed (Month/Day/Year) | | | | | | | 6. Indiv X | 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person | | | | |
| (Street) SAN JOSE CA 95112 | | | | | | | | | | | | | Form file | d by More | than One Reporti | ng Person | |
| SAN JUSE | CA | 90 | 90112 | | | | | | | | | | | | | | |
| (City) | (State) | (Zi | p) | | | | | | | | | | | | | | |
| Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned | | | | | | | | | | | | | | | | | |
| Date | | | | 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 a | | | | nd 5) Securities Beneficial Following | | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership | |
| | | | | | | | Code | v | Amount | | (A) or (D) | Price | Transaction(s) (Instr. 3 and 4) | | | (Instr. 4) | |
| Common Stock 07 | | | | 07/03/2 | /2016 | | F | | 25 ⁽¹⁾ | | D | \$34.48 | 30,9 | 953 | D | | |
| Common Stock 07/0 | | | | | /2016 | | F | | 27 ⁽²⁾ | | D | \$34.48 | 30,9 | 926 | 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) | ative Conversion Date Execution Date | | Cod | ransaction Derivative code (Instr. Securities | | 6. Date Exercisable and Expiration Date (Month/Day/Year) | | | 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4) | | derlying curity | 8. Price of Derivative Security (Instr. 5) 8 eneficial Owned Following Reported Transacti | | ownership Form: Ily Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) | | |

Explanation of Responses:

1. Represents the number of shares withheld by and surrendered to the Issuer to satisfy the tax withholding obligations that arose in connection with the vesting of the Restricted Stock Award (RSA) Award #342.

(D)

Date

Exercisable

Expiration Date

Title

2. Represents the number of shares withheld by and surrendered to the Issuer to satisfy the tax withholding obligations that arose in connection with the vesting of the Restricted Stock Award (RSA) Award #284.

Remarks:

/s/ Michelle Mortensen on 07/06/2016 behalf of Thomas F. Smegal III

** Signature of Reporting Person

Amount or Number

of Shares

Date

(Instr. 4)

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.

v

(A)

Code

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations