SEC Form 4

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

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* <u>Healey David B</u>			Name and Ticker of ORNIA WA				(Check	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner Officer (give title Other (specify				
(Last) (First) C/O CALIFORNIA WATER SE	3. Date of 03/03/2	f Earliest Transactio	on (Mont	h/Day	/Year)	- ×	below)	below)				
1720 NORTH FIRST STREET (Street)			ndment, Date of Or	iginal File	ed (Mo	onth/Day/Year)	6. Indiv X	 6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person 				
SAN JOSE CA (City) (State)	95112 (Zip)	_										
	Table I - Non-D	erivative S	ecurities Acq	uired,	Disp	osed of, or	Benefi	cially Ow	ned			
1. Title of Security (Instr. 3) 2. Tran Date (Month			2A. Deemed Execution Date, if any (Month/Day/Year)	xecution Date, Transaction Code (Instr.		4. Securities A Disposed Of (D	cquired (A)) (Instr. 3	a) or 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	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)		
Common Stock	0:	3/03/2017		F		40(1)	D	\$36.5	14,304	D		
Common Stock	0:	3/04/2017		F		43 ⁽²⁾	D	\$36.5	14,261	D		
Common Stock	0:	3/04/2017		A		3,531 ⁽³⁾	Α	\$36.5	17,792	D		
Common Stock 03/0				F		1,976(4)	D	\$36.5	15,816	D		
			urities Acqui Is, warrants, c	options	s, co	nvertible se	curitie	s)	ed			

		2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	Execution Date,	Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		,		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		Derivative Security (Instr. 5)	derivative Securities Beneficially Owned Following Reported	Form: Direct (D)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (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 #336.

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 #280.

3. On 3/4/2014, the reporting person was granted a Restricted Stock Unit (RSU) of 2,622 shares of common stock. The RSU vested in full based on satisfaction of certain performance criteria approved by the Board of Directors. The performance criteria was met resulting in 135% payout of the original goal.

4. 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 Unit (RSU) Award #313. Remarks:

/s/ Michelle Mortensen on behalf of David B. Healey

** Signature of Reporting Person

03/07/2017

Date

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.