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 Address of Reporting Person* Smegal Thomas F III					2. Issuer Name and Ticker or Trading Symbol CALIFORNIA WATER SERVICE GROUP							5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner				
				[CWT]	CWT]							Officer (g	ive title		(specify	
(Last) (First) (Middle) CALIFORNIA WATER SERVICE COMPANY					3. Date of Earliest Transaction (Month/Day/Year) 12/01/2017							X Officer (give true Uniter (specify below) below) VP, CFO & Treasurer				
1720 NORTH FIRST STREET				4. If Amer	4. If Amendment, Date of Original Filed (Month/Day/Year)							6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person				
(Street)												Form file	d by More	than One Report	ing Person	
SAN JOSE	CA	95	5112													
(City)	(State)	(Zi	p)													
		Та	ble I - Non-	-Derivative S	ecurities Acq	uired, C	Disp	osed of,	or B	enefic	ially Ow	ned				
Date					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 Beneficially Following F		6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			ľ	(Month/Day/Year)				Liepeeeu				Beneficiall Following	Reported	or Indirect (I)	Beneficial Ownership	
				(Month/Day/Year)				Amount		(A) or (D)	Price	Beneficial	Reported n(s)	or Indirect (I)	Beneficial	
Common Stoc	k			12/01/2017		8)	istr.			(A) or		Beneficiall Following Transactio	Reported n(s) d 4)	or Indirect (I)	Beneficial Ownership	
Common Stoc						8) Code	istr.	Amount)	(A) or (D)	Price	Beneficiall Following Transactio (Instr. 3 an	Reported n(s) d 4)	or Indirect (I) (Instr. 4)	Beneficial Ownership	
			Table II - De	12/01/2017 12/03/2017 erivative Sec		8) Code F F red, Dis	v v spos	Amount 119 ⁽¹ 32 ⁽²⁾ sed of, or	r Ber	(A) or (D) D D neficia	Price \$45 \$45	Beneficiall Following Transactio (Instr. 3 an 33,0 33,0	Reported n(s) d 4)	or Indirect (I) (Instr. 4)	Beneficial Ownership	

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 #366.

(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 #342.

Remarks:

/s/ Michelle Mortensen on 12/05/2017 behalf of Thomas F. Smegal III

** Signature of Reporting Person

Amount

or Number

of Shares

Transaction(s)

(Instr. 4)

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.

v

Code

(A)

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