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 Addr	•	2. Issuer Name and Ticker or Trading Symbol CALIFORNIA WATER SERVICE GROUP							1 (5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner								
						CWT]								jive title	10% Owner Other (specify			
(Last) C/O CALIFOF	(First) RNIA WAT	3. Date of Earliest Transaction (Month/Day/Year) 03/03/2018								X Officer (give the Other (specify below) below) VP, Controller								
1720 NORTH FIRST STREET						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) SAN JOSE CA 95112												Form file	d by More	than One Reportin	ng Person			
(City)	(State)	(Z	ip)															
		Ta	able I - Noi	n-Deri	ivative S	ecurities Acq	uired,	Disp	osed of,	or B	Benefic	cially Ow	ned					
Date					nsaction n/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) or 4 and 5)	5. Amount Securities Beneficiall Following	y Owned Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership		
						Code	v	Amount (A) or (D) P		Price	 Transaction(s) (Instr. 3 and 4) 			(Instr. 4)				
Common Stock 03/0)3/2018		F		40(1)		D	\$36.4	4 12,395		D			
Common Stock 03/0					03/2018		Α		3,498	2)	Α	\$ <mark>36.4</mark>	15,893		D			
Common Stock 03/0					3/2018		F		1,898	(3)	D	\$36.4	13,995		D			
						urities Acqui s, warrants, c	,		,				ed					
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Da if any	0	4. Transaction Code (Instr.	5. Number of Derivative Securities	6. Date Expirati (Month/	on Da		e and 7. Title and Amou Securities Underl Derivative Securit		derlying curity	8. Price of Derivative Security Security		e Ownership s Form:	11. Nature of Indirect Beneficial		

Derivative Security (Instr.	Conversion or Exercise Price of Derivative Security	Execution Date, if any (Month/Day/Year)	Transaction Code (Instr. 8)		Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		Expiration Date (Month/Day/Year)		Securities Underlying Derivative Security (Instr. 3 and 4)		Derivative Security (Instr. 5)	Securities Beneficially Owned Following Reported	Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	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. On 3/3/2015, the reporting person was granted a Restricted Stock Unit (RSU) of 2,446 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 143% payout of the original goal.

3. 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 #348. Remarks:

<u>/s/ Michelle Mortensen on</u> <u>behalf of David B. Healey</u> ** Signature of Reporting Person

03/05/2018

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.