SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

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 [*] 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 Officer (give title Other (specify			
(Last) CALIFORNIA	(First)		3. Date of Earliest Transaction (Month/Day/Year) 02/28/2020								X Officer (give true below) below) VP, CFO & Treasurer					
1720 NORTH		4. If Amendment, Date of Original Filed (Month/Day/Year)							6. Indiv	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 Reportir	ig Person
(City)	(City) (State) (Zip)															
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned																
1. Title of Security (Instr. 3) 2. Tran Date (Month					Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	cution Date, Transact		ransaction Disposed Of (D) (Instr. 3, 4 ar ode (Instr.				Beneficially Owned Following Reported Transaction(s)		6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
							Code	v	Amount (A) or (D) Pr		Price				(1150.4)	
Common Stock 02/2					/2020		F		103(1)	D3 ⁽¹⁾ D \$		\$47.96	38,550		D	
Common Stock 02/2					/2020		A		3,060(2)	Α	\$0.00	\$0.00 41,610		D	
Common Stoc	02/28	/2020		F		1,605	3)	D	\$47.96	40,0	005	D				
						urities Acqui s, warrants, c	,	•					d			
1. Title of Derivative Security (Instr. 3) 2. 3. Transaction Date 3A. Deemed Execution Date, if any (Month/Day/Year) 1. Transaction 1. Transaction 1. Transaction 1. Transaction			ate, Tra Co	ansaction ode (Instr.	5. Number of Derivative Securities Acquired (A)	6. Date Exercisable and Expiration Date (Month/Day/Year) (Morth/Day/Year) (Instr 3 and 4)			derlying curity	8. Price of Derivative Security (Instr. 5) 8. Number derivative Securities Beneficial		Ownership Form:	11. Nature of Indirect Beneficial Ownership			

Security (Instr. 3)	or Exercise Price of Derivative Security	(Month/Day/Year)	if any (Month/Day/Year)	.,		Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		,		Derivative Security (Instr. 3 and 4)		Security (Instr. 5)	Securities Beneficially Owned Following Reported Transaction(s)	Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date		Amount or Number of Shares		(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 (RSA) Award #403.

2. On 2/28/2017, the reporting person was granted a Performance Stock Unit (PSU) of 2,145 shares of common stock. The PSU vested in full based on satisfaction of certain performance criteria approved by the Board of Directors. The performance criteria was met resulting in 142.667% 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 Performance Stock Unit (PSU) Award #416

Remarks:

/s/ Michelle Mortensen on

behalf of Thomas F. Smegal III ** Signature of Reporting Person

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.

03/03/2020

Date