American Water Works Company, Inc.

Form 4

January 27, 2017

# FORM 4

#### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

**OMB APPROVAL** 

3235-0287

Expires:

January 31, 2005

0.5

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

may continue.

See Instruction

Check this box

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

30(h) of the Investment Company Act of 1940

1(b).

(Print or Type Responses)

01/25/2017

01/25/2017

Stock

Stock

Common

Name and Address of Reporting Person   Sgro Michael A			2. Issuer Name and Ticker or Trading Symbol American Water Works Company, Inc. [AWK]					5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)		
(Last)	(First) (Middle) 3. Date of (Month/DUREL OAK ROAD 01/25/20							Director 10% Owner Officer (give title Other (specify below) below)  EVP,General Counsel, Secretary		
	(Street)			ndment, Da th/Day/Year	Č	1		6. Individual or J Applicable Line) _X_ Form filed by	•	
VOORHEI	ES, NJ 08043							Form filed by l	More than One Re	porting
(City)	(State)	(Zip)	Table	e I - Non-D	erivative	Secur	ities Acq	uired, Disposed o	of, or Beneficial	ly Owned
1.Title of Security (Instr. 3)	2. Transaction D (Month/Day/Yea	ar) Execution	emed on Date, if /Day/Year)	3. Transaction Code (Instr. 8)	4. Securi on(A) or D (Instr. 3,	ispose 4 and (A) or	ed of (D)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	
Common Stock	01/25/2017			M	758	A	\$ 0	3,197 (1)	D	
Common	01/25/2017			٨	590	٨	¢ 0	2 796	D	

589

437

A

F

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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3,786

3,349

D

D

\$0

A

SEC 1474 (9-02)

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number.

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)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transacti Code (Instr. 8)	Derivative		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount Underlying Securitie (Instr. 3 and 4)	
				Code V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amou or Numb of Shares
Performance Stock Units	(2)	01/25/2017		A	325 (3)		<u>(2)</u>	12/31/2016 <u>(4)</u>	Common Stock	325
Performance Stock Units	<u>(2)</u>	01/25/2017		M		758 (5)	(2)	12/31/2016(4)	Common Stock	758 9

## **Reporting Owners**

Reporting Owner Name / Address	Relationships						
<b>rg</b> • ·· · ·· · ·	Director	10% Owner	Officer	Other			
Sgro Michael A			EVP,General				
1025 LAUREL OAK ROAD			Counsel,				
VOORHEES, NJ 08043			Secretary				
Signatures							

#### Signatures

/s/ Jeffrey M. Taylor, as attorney-in-fact for Michael A. Sgro 01/27/2017

\*\*Signature of Reporting Person Date

## **Explanation of Responses:**

- \* 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).
- Includes 45 shares acquired pursuant to the automatic reinvestment in shares of common stock of American Water Works Company, Inc.

  (the "Company") of cash dividends paid on Company common stock to the reporting person, which shares were inadvertently omitted.
- (1) (the "Company") of cash dividends paid on Company common stock to the reporting person, which shares were inadvertently omitted from prior Form 4 reports. This filing is deemed to correct appropriately the reporting person's prior Form 4 reports.
- Each performance stock unit represented a contingent right to receive one share of Company common stock, based on the Company's annual relative total stockholder return over a three-year performance period, beginning on January 1, 2014 and ending December 31, 2016.
- (3) Represents the above-target earned portion of the TSR performance stock unit. In 2014, the Company granted 433 performance stock units, equal to the number of shares to be received if target performance was achieved.

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- (4) Represents the end of the performance period to which the performance stock units relate.
- (5) Represents the earned portion of the TSR performance stock units, including target units granted in 2014 and above-target units earned based on TSR performance. The number of TSR performance stock units earned was 175 percent of the target.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.