

American Water Works Company, Inc.

Form 3

January 15, 2015

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF
SECURITIES**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

(Print or Type Responses)

1. Name and Address of Reporting
Person *

Sgro Michael A

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

01/05/2015

3. Issuer Name **and** Ticker or Trading Symbol

American Water Works Company, Inc. [AWK]

4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

1025 LAUREL OAK ROAD

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

Interim General Counsel

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting Person

VORHEES, NJ 08043

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

529 ⁽¹⁾

D

A

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

SEC 1473 (7-02)

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information contained in this form are not
required to respond unless the form displays a
currently valid OMB control number.****Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)**1. Title of Derivative Security
(Instr. 4)2. Date Exercisable and
Expiration Date
(Month/Day/Year)Date
Exercisable

Expiration Date

3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)

Title

Amount or
Number of4. Conversion
or Exercise
Price of
Derivative
Security5. Ownership
Form of
Derivative
Security:
Direct (D)
or Indirect6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

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				Shares		(I) (Instr. 5)	
Performance Stock Unit	Â (2)	12/31/2014 ⁽³⁾	Common Stock	456	\$ (2)	D	Â
Performance Stock Unit	Â (4)	12/31/2015 ⁽³⁾	Common Stock	499	\$ (4)	D	Â
Performance Stock Unit	Â (5)	12/31/2016 ⁽³⁾	Common Stock	433	\$ (5)	D	Â
Employee Stock Option (right to buy)	Â (6)	12/31/2018	Common Stock	1,391 ⁽⁹⁾	\$ 34.12	D	Â
Employee Stock Option (right to buy)	Â (7)	12/31/2019	Common Stock	1,484 ⁽¹⁰⁾	\$ 39.45	D	Â
Employee Stock Option (right to buy)	Â (8)	12/31/2020	Common Stock	2,522	\$ 44.06	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Sgro Michael A 1025 LAUREL OAK ROAD VORHEES, NJ 08043	Â	Â	Â Interim General Counsel	Â

Signatures

/s/ Steven Robbins by Power of Attorney 01/15/2015

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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).

(1) Includes (i) 212 shares of common stock of American Water Works Company, Inc. (the "Company"), (ii) 333 restricted stock units that settle in common stock on a one share per unit basis and vest in three equal installments on January 1, 2014, 2015 and 2016, less 222 shares previously vested and disposed of, and (iii) 307 restricted stock units that settle in common stock on a one share per unit basis and vest in three equal installments on January 1, 2015, 2016 and 2017, less 102 shares previously vested and disposed of.

(2) Each performance stock unit represents a contingent right to receive one share of common stock of the Company. The actual number of performance stock units that may be earned will be based on the Company's total stockholder return ("TSR") relative to the performance of the other companies in the Dow Jones U.S. Utilities Total Return Index over the three-year performance period beginning on January 1, 2012 and ending December 31, 2014. The number of performance stock units shown in column 3 is equal to the target number of performance stock units that may be earned.

(3) Represents the end of the performance period to which the performance stock units relate.

(4) Each performance stock unit represents a contingent right to receive one share of common stock of the Company. The actual number of performance stock units that may be earned will be based on the Company's TSR relative to the performance of the other companies in the Dow Jones U.S. Utilities Total Return Index over the three-year performance period beginning on January 1, 2013 and ending December 31, 2015. The number of performance stock units shown in column 3 is equal to the target number of performance stock units that may be earned.

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- Each performance stock unit represents a contingent right to receive one share of common stock of the Company. The actual number of performance stock units that may be earned will be based on the Company's TSR relative to the performance of the other companies in the Dow Jones U.S. Utilities Total Return Index over the three-year performance period beginning on January 1, 2014 and ending December 31, 2016. The number of performance stock units shown in column 3 is equal to the target number of performance stock units that may be earned.
- (5) The options have vested.
 - (6) The options vest in three equal installments on January 1, 2014, 2015 and 2016.
 - (7) The options vest in three equal installments on January 1, 2015, 2016 and 2017.
 - (8) The option award granted on February 23, 2012, representing a right to purchase 4,171 shares, have vested and the reporting person previously exercised and sold 2,780 shares.
 - (9) The option award granted on February 21, 2013, representing a right to purchase 2,225 shares, vested in three equal installments on January 1, 2013, 2014 and 2015 and the reporting person previously exercised and sold 741 shares.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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