

American Water Works Company, Inc.  
 Form 4  
 March 07, 2016

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
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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 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

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)  
 1025 LAUREL OAK ROAD  
 (Street)

3. Date of Earliest Transaction (Month/Day/Year)  
 03/04/2016

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
 EVP, General Counsel, Secretary

VOORHEES, NJ 08043  
 (City) (State) (Zip)

4. If Amendment, Date Original Filed (Month/Day/Year)

6. Individual or Joint/Group Filing (Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/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 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D) Code V Amount Price                                    |   |  |                                   |
| Common Stock                    | 03/04/2016                           |  | M                              | 742 A \$ 39.45  | 4,618   | D  |                                   |
| Common Stock                    | 03/04/2016                           |  | S                              | 742 D \$ 67.5   | 3,876   | D  |                                   |
| Common Stock                    | 03/04/2016                           |  | M                              | 1,097 A \$ 44.06  | 4,973   | D  |                                   |
| Common Stock                    | 03/04/2016                           |  | S                              | 1,097 D \$ 67.5   | 3,876   | D  |                                   |
| Common Stock                    | 03/04/2016                           |  | S                              | 1,169 D \$ 67.44  | 2,707   | D  |                                   |

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

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(9-02)

**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. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Employee Stock Option (right to buy)       | \$ 39.45   | 03/04/2016                           |  | M                              | 742   | <u>(1)</u> 12/31/2019                                    | Common Stock  | 742                           |
| Employee Stock Option (right to buy)       | \$ 44.06   | 03/04/2016                           |  | M                              | 1,097   | <u>(3)</u> 12/31/2020                                    | Common Stock  | 1,097                         |

## Reporting Owners

| Reporting Owner Name / Address                               | Relationships |           |                                 |       |
|--|---------------|-----------|---------------------------------|-------|
|  | Director      | 10% Owner | Officer                         | Other |
| Sgro Michael A<br>1025 LAUREL OAK ROAD<br>VOORHEES, NJ 08043 |               |           | EVP, General Counsel, Secretary |       |

## Signatures

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

03/07/2016

\_\_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).

- (1) The option award granted on February 21, 2013, representing a right to purchase 2,225 shares, vested in three equal installments on January 1, 2014, 2015 and 2016.
- (2) Prior exercises of 1,483 shares underlying this option were previously reported.
- (3) The option award granted on February 20, 2014, representing a right to purchase 2,522 shares, vests in three equal installments on January 1, 2015, 2016 and 2017.
- (4) A prior exercise of 584 shares underlying this option was previously reported.

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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