## Edgar Filing: Alexander Richard M - Form 4

Form 4       July 03, 2018       OMB APPROVAL         FORM 4       UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549       OMB Number:       3235-0287         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       STATEMENT of CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES       Expires:       January 31         Form 4 or Form 5 obligations may continue. See Instruction 16(a) of the Public Utility Holding Company Act of 1935 or Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 17(b).       Filed pursuant to Section 16(a) of the Investment Company Act of 1940       Section 17(a) of the Public Utility Holding Company Act of 1940
FORM 4       UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549       OMB APPROVAL         Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction       STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES       MB Aumber:       January 31 2005         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       Stimated aumoust of the Securities Exchange Act of 1934, Section 17(a) of the Investment Company Act of 1940       OMB Aumoust of the Securities Exchange Act of 1934, Section 17(a) of the Investment Company Act of 1940
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OMB 3235-0287Washington, D.C. 20549OMB Number:Check this box if no longer subject to Section 16.STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIESSTATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIESExpires:January 31 2005State average burden hours per responseState average burden hours section 17(a) of the Public Utility Holding Company Act of 1940State average burden hours per responseState average burden hours section 17(a) of the Investment Company Act of 1940State
Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction See Instruction Check this box if no longer STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES SECURITIES 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
if no longer subject to Section 16.STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIESExpires:2005Form 4 or Form 5 obligations may continue. See InstructionStatement of Company Act of 1934, 30(h) of the Investment Company Act of 1940Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, 30(h) of the Investment Company Act of 1940Expires:2005
Subject to       Estimated average         Section 16.       SECURITIES       burden hours per         Form 4 or       Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,       0.5         obligations       Filed pursuant to Section 16(a) of the Public Utility Holding Company Act of 1935 or Section       0.5         see Instruction       30(h) of the Investment Company Act of 1940       1940
Form 4 or Form 5 obligations may continue. See InstructionFiled 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 19400.5
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<i>See</i> Instruction 30(h) of the Investment Company Act of 1940
See Instruction 30(h) of the Investment Company Act of 1940
1(b).
(Print or Type Responses)
(Thit of Type Responses)
1. Name and Address of Reporting Person <sup>*</sup> _ 2. Issuer Name and Ticker or Trading 5. Relationship of Reporting Person(s) to
Alexander Richard M Symbol Issuer
Global Water Resources, Inc.
[GWRS] (Check all applicable)
(Last) (First) (Middle) 3. Date of Earliest Transaction _X_Director10% Owner
(Month/Day/Year) <u>— Officer (give title</u> <u>— Other (specify</u> below) <u>below</u> )
C/O GLOBAL WATER 06/29/2018
RESOURCES, INC., 21410 N 19TH
AVENUE #220
(Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check
Filed(Month/Day/Year) Applicable Line) _X_Form filed by One Reporting Person
PHOFNIX AZ 85027 Form filed by More than One Reporting
Person
(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned
1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities 5. Amount of 6. Ownership 7. Nature of
Security (Month/Day/Year) Execution Date, if TransactionAcquired (A) or Securities Form: Direct Indirect
(Instr. 3)anyCodeDisposed of (D)Beneficially(D) or IndirectBeneficial(Month/Day/Year)(Instr. 8)(Instr. 3, 4 and 5)Owned(I)Ownership
Following (Instr. 4) (Instr. 4)
(A) Reported Transaction(s)
or (Instr. 3 and 4)
Code V Amount (D) Price (Instr. 5 and 4)
Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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 control number.

 Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

 (e.g., puts, calls, warrants, options, convertible securities)

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	4. Transacti Code (Instr. 8)	5. orNumber 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. Price of Derivative Security (Instr. 5)
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Deferred Phantom Unit	<u>(1)</u>	06/29/2018	А	39	(2)	(2)	Common Stock	39	\$ 0

## **Reporting Owners**

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Alexander Richard M C/O GLOBAL WATER RESOURCES 21410 N 19TH AVENUE #220 PHOENIX, AZ 85027	INC.	Х					
Signatures							
/s/ Heather Krupa, attorney-in-fact	07/03/2	2018					

Date

\*\*Signature of Reporting Person

## **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) Each deferred phantom unit ("DPU") is the economic equivalent to one share of common stock of Global Water Resources, Inc. ("the Company").
- The DPUs are fully vested upon grant. In addition, the DPUs are only permitted to be redeemed upon the reporting person ceasing to be a (2) director of the Company. Redemption requirements are detailed within the DPU plans which are incorporated by reference within our
- latest filed 10-K.

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.