

American Water Works Company, Inc.

Form 3

March 03, 2017

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104

Expires: January 31, 2005

Estimated 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 *

Kennedy Melanie M

(Last)

(First)

(Middle)

2. Date of Event Requiring Statement

(Month/Day/Year)

03/01/2017

3. Issuer Name and Ticker or Trading Symbol

American Water Works Company, Inc. [AWK]

4. Relationship of Reporting Person(s) to Issuer

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

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

SVP, Human Resources

6. Individual or Joint/Group

Filing(Check Applicable Line)

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

1025 LAUREL OAK ROAD

(Street)

VOORHEES, NJ 08043

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned

1. 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

3,251 ⁽¹⁾

D

A

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

SEC 1473 (7-02)

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 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 of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security: Direct (D) or Indirect

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Edgar Filing: American Water Works Company, Inc. - Form 3

				Shares		(I) (Instr. 5)	
Employee Stock Option (right to buy)	Â (2)	12/31/2018	Common Stock	1,114	\$ 34.12	D	Â
Employee Stock Option (right to buy)	Â (3)	12/31/2019	Common Stock	1,776	\$ 39.45	D	Â
Employee Stock Option (right to buy)	Â (4)	12/31/2020	Common Stock	2,053	\$ 44.06	D	Â
Employee Stock Option (right to buy)	Â (5)	12/31/2021	Common Stock	1,990	\$ 52.75	D	Â
Employee Stock Option (right to buy)	Â (6)	12/31/2022	Common Stock	1,969	\$ 65.15	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Kennedy Melanie M 1025 LAUREL OAK ROAD VOORHEES, NJ 08043	Â	Â	Â SVP, Human Resources	Â

Signatures

/s/ Jeffrey M. Taylor, as attorney-in-fact for Melanie M.
Kennedy

03/03/2017

__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).

- 890 of the shares indicated are restricted stock units issued under the American Water Works Company, Inc. ("American Water") 2007 Omnibus Equity Compensation Plan (the "Plan"), which settle solely in shares of American Water common stock on a one share per unit basis. The restricted stock units vest on the first, second and third anniversaries of the date of grant.
- (1) This option was issued under the Plan and vested in three equal installments on January 1, 2013, 2014 and 2015.
 - (3) This option was issued under the Plan and vested in three equal installments on January 1, 2014, 2015 and 2016.
 - (4) This option was issued under the Plan and vested in three equal installments on January 1, 2015, 2016 and 2017.
 - (5) This option was issued under the Plan and vests in three equal installments on January 1, 2016, 2017 and 2018.
 - (6) This option was issued under the Plan and vests in three equal installments on January 1, 2017, 2018 and 2019.

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.