Edgar Filing: Global Water Resources, Inc. - Form 4

Global Water Resources, Inc. Form 4

December (01, 2016											
FORM	ЛД								OMB A	PPROVAL		
UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549									OMB Number:	3235-0287		
if no loi subject	Check this box if no longer subject to Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES							IP OF	Expires: January 3 200 Estimated average burden hours per			
Form 4 Form 5 obligati may con <i>See</i> Inst 1(b).	Filed put ons ntinue. Section 17((a) of the l	Public U		ding Cor	npany A	hange Act of Act of 1935 or If 1940		response	· · · · · ·		
Print or Type	Responses)											
1. Name and Fleming Ro	Symbol Global	er Name and Water Re			5. Relatio Issuer	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)						
(Last) C/O GLOB RESOURC AVENUE		of Earliest T Day/Year)	ransaction			X Director 10% Owner X Officer (give title Other (specify below) below) President and CEO						
				endment, D nth/Day/Yea	•	1	Applicable _X_ Form	 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting 				
PHOENIX	, AZ 85027						Form Person	filed by M	lore than One R	eporting		
(City)	(State)	(Zip)	Tab	le I - Non-l	Derivative	Securitie	es Acquired, Dis	posed of	, or Beneficia	lly Owned		
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	on Date 2A. Deemed //Year) Execution Date, if any (Month/Day/Year)		TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5) (A) or			Securities Beneficially Owned Following Reported Transaction (Instr. 3 and	Beneficially(IOwned(IFollowing(I		7. Nature of Indirect Beneficial Ownership (Instr. 4)		
				Code V	Amount	(D) Pri	ice	,				
Reminder: Re	port on a separate line	e for each cl	ass of sec	urities bene	ficially own	ned direct	tly or indirectly.					

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02) 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)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	Code	of				7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)
			Code V	4, an 7 (A)	ĺ.	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Phantom Stock Unit	<u>(1)</u>	11/30/2016	А	60		(2)	(2)	Common Stock	60	\$ 0

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Reporting Owners

Reporting Owner Name / Address		Relationships							
1		Director	10% Owner	Officer	Other				
Fleming Ronnie L C/O GLOBAL WATER RESOURCES 21410 N 19TH AVENUE #220 PHOENIX, AZ 85027	S, INC.	X		President and CEO					
Signatures									
/s/ Jeff Risenmay, attorney-in-fact	12/01/2	016							
<u>**</u> 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) Each phantom stock unit ("PSU") is the economic equivalent of one share of common stock of Global Water Resources, Inc. ("the Company").
- (2) The PSUs are fully vested upon grant and immediately exercisable. The PSUs do not have a set expiration date.
- (3) The total includes prior grants of PSUs that have different vesting and expiration dates, as previously reported by the reporting person.

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.