Edgar Filing: KATHOL ROBERT F - Form 5

KATHOL ROBERT F

Form 5

February 14, 2007

OMB APPROVAL FORM 5

OMB UNITED STATES SECURITIES AND EXCHANGE COMMISSION 3235-0362 Number: Washington, D.C. 20549 Check this box if January 31, Expires: no longer subject 2005 to Section 16. Estimated average ANNUAL STATEMENT OF CHANGES IN BENEFICIAL Form 4 or Form burden hours per 5 obligations OWNERSHIP OF SECURITIES response... 1.0 may continue. See Instruction Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, 1(b). Form 3 Holdings Section 17(a) of the Public Utility Holding Company Act of 1935 or Section Reported 30(h) of the Investment Company Act of 1940 Form 4 Transactions Reported 1. Name and Address of Reporting Person * 2. Issuer Name and Ticker or Trading 5. Relationship of Reporting Person(s) to Issuer KATHOL ROBERT F Symbol AMERICAN STATES WATER CO (Check all applicable) [AWR] 3. Statement for Issuer's Fiscal Year Ended (Last) (First) (Middle) _X_ Director 10% Owner Officer (give title (Month/Day/Year) Other (specify below) below) 12/31/2006 954 SOUTH 117TH COURT (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Reporting Filed(Month/Day/Year) (check applicable line) OMAHA, NEÂ 68154 _X_ Form Filed by One Reporting Person Form Filed by More than One Reporting (State) (Zip) (City) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1. Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired 5. Amount of 7. Nature of Indirect Security (Month/Day/Year) Execution Date, if Transaction (A) or Disposed of (D) Securities Ownership (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial

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

12/31/2006

Common

(Month/Day/Year)

Â

(Instr. 8)

A

Persons who respond to the collection of information SEC 2270 contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(A)

or

(D)

A

Price

\$0

Amount

255.8155

Owned at end of Direct (D)

or Indirect

(Instr. 4)

(I)

D

Issuer's Fiscal

(Instr. 3 and 4)

10,638.9665

Year

(1)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

(9-02)

Ownership

(Instr. 4)

Â

Edgar Filing: KATHOL ROBERT F - Form 5

1. Title of 2. 3. Transaction Date 3A. Deemed 4. 5. 6. Date Exercisable and 7. Title and	
Derivative Conversion (Month/Day/Year) Execution Date, if Transaction Number Expiration Date Amount of	Derivative
Security or Exercise any Code of (Month/Day/Year) Underlying	Security
(Instr. 3) Price of (Month/Day/Year) (Instr. 8) Derivative Securities	(Instr. 5)
Derivative Securities (Instr. 3 and	d 4)
Security Acquired	
(A) or	
Disposed	
of (D)	
(Instr. 3,	
4, and 5)	
(A) (D) Date Expiration Title Am	viint
	Juiit
Exercisable Date or Nur	a la cu
of	1001
or Sha	20 0

of D

Is Fi

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
KATHOL ROBERT F 954 SOUTH 117TH COURT OMAHA, NE 68154	ÂX	Â	Â	Â

Signatures

/s/ Robert F.
Kathol

**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) DER units credited on 5/15/06, 8/14/06 and 11/10/06 as dividend at FMV

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.

Reporting Owners 2