AUER JEAN E Form 5

February 05, 2003

SEC Form 5

## **OMB APPROVAL** FORM 5 **UNITED STATES SECURITIES AND EXCHANGE COMMISSION** [ ] Check this box if no Washington, D.C. 20549 longer subject to Section 16. Form 4 OMB Number: 3235-0362 or Form 5 obligations may Expires: January 31, 2005 ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP continue. Estimated average burden See Instruction 1(b). hours per response. . . . . 1.0 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section [ ] Form 3 Holdings 17(a) of the Public Utility Reported Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940 [ ] Form 4 Transactions Reported Name and Address of Reporting Person\* Issuer Name 4. Statement for 6. Relationship of Reporting Person(s) to Auer, Jean E. and Ticker or Trading Symbol Month/Year (Check all applicable) American States Water 12/2002 (Last) (First) (Middle) Company X Director \_ 10% Owner 1325 Avondale Road Officer (give title below) \_ Other (specify below) 3. I.R.S. Identification (Street) 5. If Amendment, Number of Reporting Hillsborough, CA 94010-7116 Date of Original Description Person, if an entity (Month/Year) (voluntary) (City) (State) (Zip) 300-32-3264 7. Individual or Joint/Group Filing (Check Applicable Line) X 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 2.Transaction 2A. Deemed 4. Securities 6. Owner-7. Nature of 5. Amount of Execution Date, if Transaction (Instr. 3) Date Acquired (A) or Securities ship Indirect (Month/Day/Year) any Code Disposed Of (D) Beneficially Form: Beneficial (Month/Day/Year) (Instr. 8) Owned at end Direct (D) Ownership (Instr. 3, 4, and 5) Issuer's Fiscal Indirect (Instr. 4) Year (Instr. 3 and (Instr. 4) Amount A/D Price **VAR** Р 1902.945 / A / VAR 5327.949 D Common

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)	Exercise Price of Deri-	Date (Month/ Day/ Year)		Transaction Code (Instr.8)	of Derivative Securities	and	Amount of Underlying Securities (Instr. 3	8. Price of Derivative Security (Instr.5)	Derivative Securities Beneficially Owned at End of Year	Securit	f ies:

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		Year)	Of (D)				or Indirect (I)
			(Instr. 3, 4 and 5)				(Instr.4)
				DE / ED	Title /		
			A or D		Amount or Number of Shares		

## **Explanation of Responses:**

1743.000 Increase in Stock is due to 3-for-2 Stock Split in June 2002	
159.945 Increase due to Dividend Reinvestment	

By: Date:

<u>/s/ Jean E. Auer</u> <u>01/20/2003</u>

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

- \* 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).

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.

<sup>\*\*</sup> Signature of Reporting Person SEC 2270 (09-02)