American Water Works Company, Inc.

Form 4

February 24, 2014

# FORM 4

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**SECURITIES** 

OMB Number:

3235-0287

Expires:

January 31, 2005

0.5

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**OMB APPROVAL** 

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may continue.

See Instruction

Check this box

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * Strauss Mark F.			2. Issuer Name and Ticker or Trading Symbol American Water Works Company, Inc. [AWK]			5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)		
(Last) (First) (Middle)  1025 LAUREL OAK ROAD				Day/Year)	Transaction	X_ Officer (give below)	e titleOther (specify below)  Strategy&Bus. Develop	
(Street)			4. If Amendment, Date Original			6. Individual or Joint/Group Filing(Check		
VOORHEE	S, NJ 08043		Filed(Mon	nth/Day/Ye	ear)		One Reporting Person More than One Reporting	
(City)	(State)	(Zip)	Tabl	le I - Non	-Derivative Securities Acq	quired, Disposed o	f, or Beneficially Owned	
1.Title of Security	2. Transaction (Month/Day/Y			3. Transac	4. Securities Acquired tion(A) or Disposed of (D)	5. Amount of Securities	6. Ownership 7. Nature 6 Form: Direct Indirect	

1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securi on(A) or Di (Instr. 3,	spose	d of (D)	5. Amount of Securities Beneficially Owned	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership
					(A)		Following Reported Transaction(s)	(Instr. 4)	(Instr. 4)
			Code V	Amount	or (D)	Price	(Instr. 3 and 4)		
Common Stock	01/01/2014		F	138	D	\$ 42.26	22,639	D	
Common Stock (1)	02/20/2014		A	953 (1)	A	\$0	23,592	D	

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

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

Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactic Code (Instr. 8)	5. Number 6. Date Exercisable and Expiration Date Expiration Date Securities (Month/Day/Year)  8) Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ate	7. Title and Amount Underlying Securitic (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amou or Numb of Share:
Performance Stock Unit	<u>(2)</u>	02/20/2014		A	1,345	(2)	12/31/2016(3)	Common Stock	1,34
Employee Stock Option (right to buy)	\$ 44.06	02/20/2014		A	7,836	<u>(5)</u>	12/31/2020	Common Stock	7,83

# **Reporting Owners**

filed

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
Strauss Mark F. 1025 LAUREL OAK ROAD VOORHEES, NJ 08043			SVP,Corp Strategy&Bus. Develop				
Signatures							
/s/ Thomas Wyatt by Power of Att	torney previo	ously	02/24/2014				

\*\*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) The shares indicated constitute restricted stock units that settle in common stock on a one share per unit basis. The restricted stock units vest in three equal installments on January 1, 2015, 2016 and 2017.
  - Each performance stock unit represents a contingent right to receive one share of common stock of American Water Works Company, Inc. (the "Company"). The actual number of performance stock units that may be earned will be based on the Company's total stockholder
- (2) return ("TSR") relative to the performance of the other companies in the Dow Jones U.S. Utility Index over the three-year performance period beginning on January 1, 2014 and ending December 31, 2016. The number of performance stock units shown in column 5 is equal to the target number of performance stock units that may be earned.
- (3) Represents the end of the performance period to which the performance stock units relate.
- (4) In previous Form 4s derivative securities with different attributes were erroneously aggregated and reported as one class. In accordance with interpretations of the staff of the Securities and Exchange Commission, derivatives with different attributes should be reported as different classes of derivatives. Based on these staff interpretations, the newly granted derivative securities are reported herein without

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aggregation.

(5) The options vest in three equal installments on January 1, 2015, 2016 and 2017.

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.