

AMERICAN WATER WORKS CO INC
Form 4
January 06, 2003

FORM 4

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

OMB APPROVAL

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response. . .0.5

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

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|---|--|--|---|--|--|--|--|--|
| 1. Name and Address of Reporting Person* Pohl W. Timothy (Last) (First) (Middle) | | | 2. Issuer Name and Ticker or Trading Symbol American Water Works Company, Inc. - AWK | | | 6. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer (give title below) <input type="checkbox"/> Other (specify below) General Counsel and Secretary | | |
| 1025 Laurel Oak Road | | | 3. I.R.S. Identification Number of Reporting Person, if an entity (voluntary) 400-76-6994 | | | 4. Statement for Month/Day/Year 1/2/03 | | |
| (Street) Voorhees, NJ 08043 | | | 5. If Amendment, Date of Original (Month/Day/Year) | | | 7. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person | | |

| 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. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 & 5) | | | 5. Amount of Securities Beneficially Owned Following Reported Transactions(s) (Instr. 3 & 4) | | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|--|--|--------------------------------------|--|--|--|--------------------------------|--|---|------------|-------|--|--|--|-----------|-----------------------------------|
| | | | | | | | Code V | | Amount | (A) or (D) | Price | | | | | |
| Common | | | 01/02/03 | | | | J ⁽¹⁾ | | 1,387 | D | | 13,079.3884 | | D | | |
| Common | | | | | | | | | | | | 1,233.2184 | | I | By 401(k) | |
| Common | | | | | | | | | | | | 5,472.8232 | | I | By ESOP | |

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).

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FORM 4 (continued) Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative | 2. Conversion or | 3. Trans- | 3A. Deemed | 4. Trans- | 5. Number | 6. Date Exercisable and Expiration | 7. Title and Amount of | 8. Price of Derivative | 9. Number of Derivative | 10. Owner- | 11. Nature of Indirect |
|------------------------|------------------|-----------|------------|-----------|-----------|------------------------------------|------------------------|------------------------|-------------------------|------------|------------------------|
|------------------------|------------------|-----------|------------|-----------|-----------|------------------------------------|------------------------|------------------------|-------------------------|------------|------------------------|

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| Security (Instr. 3) | Exercise Price of Derivative Security | action Date (Month/ Day/ Year) | Execution Date, if any (Month/ Day/ Year) | action Code (Instr. 8) | of Derivative Security Acquired (A) or Disposed of (D) | | | Date (Month/Day/ Year) | Expiration Date | Underlying Securities (Instr. 3 & 4) | | Security (Instr. 5) | Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | ship Form of Deriv- ative Security: Direct (D) or Indirect (I) (Instr. 4) | Beneficial Ownership (Instr. 4) |
|------------------------|--|--|--|---------------------------------|--|------|---|------------------------------|--------------------|--|-----|------------------------|--|---|---------------------------------------|
| | | | | | (Instr. 3, 4 & 5) | Code | V | | | (A) | (D) | | | | |
| Deferred Stock | | | | | | | | | | | | | 4,872.099 | D | |
| Emp Stock Option | | | | | | | | | | Common | | | 41,311 | D | |
| Emp Stock Option | | | | | | | | | | Common | | | 5,400 | D | |

Explanation of Responses:

(1) Shares vested under the Long-Term Performance Based Incentive Plan were transferred into the Company's Deferred Compensation Plan.

By: /s/ **W. Timothy Pohl**

1/6/03

Date

**Signature of Reporting Person

**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.

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