

Baker David K  
 Form 4  
 November 10, 2011

**FORM 4**

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

OMB APPROVAL

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

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 OF SECURITIES**

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
 Baker David K

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  
 (Street)

3. Date of Earliest Transaction (Month/Day/Year)  
 11/09/2011

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
 President, NJ American Water

VOORHEES, NJ 08043

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

(City) (State) (Zip)

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

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 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount or Price		
Common Stock	11/09/2011	11/09/2011	M		4,252 A \$ 21.5	6,111	D
Common Stock	11/09/2011	11/09/2011	M		3,897 A \$ 21.5	10,008	D
Common Stock	11/09/2011	11/09/2011	M		4,014 A \$ 20.7	14,022	D
Common Stock	11/09/2011	11/09/2011	M		4,617 A \$ 22.26	18,639	D
Common Stock	11/09/2011	11/09/2011	S		16,780 D \$ 30.82	1,859	D

Edgar Filing: Baker David K - Form 4

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

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

SEC 1474  
(9-02)

**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)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 21.5	11/09/2011	11/09/2011	M	4,252	<u>(1)</u> 12/31/2013	Common Stock	4,252
Employee Stock Option (right to buy)	\$ 21.5	11/09/2011	11/09/2011	M	3,897	<u>(2)</u> 12/31/2014	Common Stock	3,897
Employee Stock Option (right to buy)	\$ 20.7	11/09/2011	11/09/2011	M	4,014	<u>(3)</u> 12/31/2015	Common Stock	4,014
Employee Stock Option (right to buy)	\$ 22.26	11/09/2011	11/09/2011	M	4,617	<u>(4)</u> 12/31/2016	Common Stock	4,617

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
			President, NJ American Water	

Baker David K  
1025 LAUREL OAK ROAD  
VOORHEES, NJ 08043

## Signatures

/s/ Karen K. Pettiford-Wilson by Power of Attorney previously  
filed

11/10/2011

\_\_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 Option Award granted on April 22, 2008, representing a right to purchase a total of 4,317 shares at \$21.50, became exercisable on January 1, 2010.
- (2) The Option Award granted on April 22, 2008, representing a right to purchase a total of 4,712 shares at \$21.50, became exercisable on January 1, 2011.
- (3) The Option Award granted on February 20, 2009, representing a right to purchase a total of 6,712 shares at \$20.70, one-third of which vested on January 1, 2010 and one-third of which vested on January 1, 2011.
- (4) The Option Award granted on February 25, 2010, representing a right to purchase a total of 15,203 shares at \$22.26, one-third of which vested on January 1, 2011.

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.